Education Criteria for Performance Excellence

accomplishment

recognition

Malcolm Baldrige
**National
Quality
Award**

THE MALCOLM BALDRIGE NATIONAL QUALITY AWARD PROGRAM

A Public-Private Partnership

Building active partnerships in the private sector, and between the private sector and all levels of government, is fundamental to the success of the Baldrige National Quality Program in improving national competitiveness. Support by the private sector for the Program in the form of funds, volunteer efforts, and participation in information transfer continues to grow.

To ensure the continued growth and success of these partnerships, each of the following organizations plays an important role:

The Foundation for the Malcolm Baldrige National Quality Award

The Foundation for the Malcolm Baldrige National Quality Award was created to foster the success of the Program. The Foundation's main objective is to raise funds to permanently endow the Award Program.

Prominent leaders from U.S. organizations serve as Foundation Trustees to ensure that the Foundation's objectives are accomplished. A broad cross-section of organizations from throughout the United States provide financial support to the Foundation.

National Institute of Standards and Technology (NIST)

The Department of Commerce is responsible for the Baldrige National Quality Program and the Award. NIST, an agency of the Department's Technology Administration, manages the Baldrige Program. NIST promotes U.S. economic growth by working with industry to develop and deliver the high-quality measurement tools, data, and services necessary for the nation's technology infrastructure. NIST also participates in a unique, government-private partnership to accelerate the development of high-risk technologies that promise significant commercial and economic benefits, and — through a network of technology extension centers and field offices located in all 50 states and Puerto Rico — helps small- and medium-size businesses access the information and expertise they need to improve their competitiveness in the global marketplace.

American Society for Quality (ASQ)

ASQ assists in administering the Award Program under contract to NIST. ASQ is dedicated to the ongoing development, advancement, and promotion of quality concepts, principles, and techniques. ASQ strives to be the world's recognized champion and leading authority on all issues related to quality. ASQ recognizes that continuous quality improvement will help the favorable positioning of American goods and services in the international marketplace.

Board of Overseers

The Board of Overseers is the advisory organization on the Baldrige National Quality Program to the Department of Commerce. The Board is appointed by the Secretary of Commerce and consists of distinguished leaders from all sectors of the U.S. economy.

The Board of Overseers evaluates all aspects of the Program, including the adequacy of the Criteria and processes for determining Award recipients. An important part of the Board's responsibility is to assess how well the Program is serving the national interest. Accordingly, the Board makes recommendations to the Secretary of Commerce and to the Director of NIST regarding changes and improvements in the Program.

Board of Examiners

The Board of Examiners evaluates Award applications and prepares feedback reports. The Panel of Judges, part of the Board of Examiners, makes Award recommendations to the Director of NIST. The Board consists of leading U.S. business, health care, and education experts. NIST selects members through a competitive application process. For 2000, the Board consists of about 400 members. Of these, nine (who are appointed by the Secretary of Commerce) serve as Judges, and approximately 70 serve as Senior Examiners. The remainder serve as Examiners. All members of the Board must take part in an Examiner preparation course.

In addition to their application review responsibilities, Board members contribute significantly to information sharing activities. Many of these activities involve the hundreds of professional, trade, community, and state organizations to which Board members belong.

Award Recipients

Award recipients are required to share information on their successful performance and quality strategies with other U.S. organizations. However, recipients are not required to share proprietary or confidential information, even if such information was part of their Award application. The principal mechanism for sharing information is the annual Quest for Excellence Conference.

Award recipients in the 12 years of the Award have been very generous in their commitment to improving U.S. competitiveness and the U.S. pursuit of performance excellence. They have shared information with hundreds of thousands of companies, education organizations, health care organizations, government agencies, and others. This sharing far exceeds expectations and Program requirements. Award recipients' efforts have encouraged many other organizations in all sectors of the U.S. economy to undertake their own performance improvement efforts.

The Baldrige National Quality Program will provide financial support to not-for-profit education organizations to support their information sharing.

Malcolm Baldrige National Quality Award

Baldrige National Quality Program
Department of Commerce • Technology Administration • National Institute of Standards and Technology

To: U.S. Education Community

From: Harry S. Hertz, Director
         Baldrige National Quality Program

Subject: The Baldrige Challenge

Whether you are a school administrator, a faculty or staff member committed to improving your organization, or a student of educational practices, the Baldrige Education Criteria for Performance Excellence are for you. Study them and you will learn; use them and your organization will improve. With the ever-increasing focus on learning-centered education, your organization is seeking every opportunity to improve its education results. For more than a decade, the Baldrige Criteria for Performance Excellence have been a significant tool used by thousands of U.S. organizations to assess and then improve performance on the critical factors that drive their success. Now, the lessons learned from the business community can be leveraged to provide a steady and proven course for education organizations to pursue performance excellence and maintain a leadership position in their communities.

Whether your organization is small or large, involved in PreK-12 or higher education, in a single location or multiple locations across the globe, the Criteria provide a valuable framework and can help you assess and measure performance on a wide range of key performance indicators: student/stakeholder, education design and delivery, faculty, operational, staff resource, and financial. The Criteria are built upon a foundation of Core Values and Concepts vital to your organization: visionary leadership; learning-centered education; organizational and personal learning; valuing faculty, staff, and partners; agility; focus on the future; managing for innovation; management by fact; public responsibility and citizenship; focus on results and creating value; and a systems perspective. Also, the Criteria can help you align resources; improve communication, productivity, and effectiveness; and achieve your organization's strategic goals.

If you are ready to take the Baldrige challenge, you must first decide whether to perform a self-assessment only or also to submit an Award application. Self-assessment allows you to identify strengths and to target opportunities for improvement on processes and results affecting all key stakeholders — including students, faculty, staff, suppliers, and the public. In the most competitive business sectors, organizations with world-class business results are able to achieve a score above 700 on the 1,000-point Baldrige scale. Even if you don't expect to win the Malcolm Baldrige National Quality Award, submitting an application has valuable benefits. Every applicant receives a detailed feedback report — based on an independent, external assessment conducted by a panel of specially trained and recognized experts.

Ultimately, your application may lead to a site visit. It also may lead to a Baldrige Award. It will most certainly identify high priority opportunities for performance improvement. Many Award recipients tell us their greatest rate of improvement occurs the year after receiving the Award. While we make no promises for the future, on average, publicly traded Baldrige Award recipient companies have outperformed the Standard & Poor's 500 by 3 to 1. If you receive the Baldrige Award, you may publicize and advertise your organization's winning status.

We make only one requirement of recipients: that you share non-proprietary information from your application summary and participate in the Quest for Excellence Conference in April 2001, so that others might learn from your success.

The Criteria are in your hands ... so is an incredible opportunity. Why not take the challenge? Turn these pages, and turn the corner toward performance excellence.

Quest for Excellence XII Conference

Each year, Quest for Excellence, the official conference of the Malcolm Baldrige National Quality Award, provides a forum for Baldrige Award recipients to share their exceptional performance practices with worldwide leaders in business, education, health care, and not-for-profit organizations. Quest for Excellence XII will showcase the 1999 recipients.

For the last 11 years, executives, managers, and quality leaders have come to this conference to learn how these role model organizations have achieved performance excellence. CEOs and other leaders from the Award recipients who are transforming their organizations give presentations covering all seven Categories of the Baldrige Criteria, their journey to performance excellence, and their lessons learned. Conference attendees will have the opportunity to ask questions of the Award recipients. This three-day conference is designed to maximize learning and networking opportunities.

The Quest for Excellence XII Conference will be held March 12-15, 2000, at the Marriott Wardman Park Hotel in Washington, DC. For further information, contact NIST, Baldrige National Quality Program, Administration Building, Room A635, 100 Bureau Drive, Stop 1020, Gaithersburg, MD 20899-1020; telephone: (301) 975-2036; fax: (301) 948-3716; or E-mail: nqp@nist.gov.

The Malcolm Baldrige National Quality Award

The Award, composed of two solid crystal prismatic forms, stands 14 inches tall. The crystal is held in a base of black anodized aluminum with the Award recipient's name engraved on the base. A 22-karat, gold-plated medallion is captured in the front section of the crystal. The medal bears the inscriptions: "Malcolm Baldrige National Quality Award" and "The Quest for Excellence" on one side and the Presidential Seal on the other.

The President of the United States traditionally presents the Awards at a special ceremony in Washington, DC.

Crystal by Steuben

The Malcolm Baldrige National Quality Award logo and the phrases "Quest for Excellence" and "Performance Excellence" are trademarks and service marks of the National Institute of Standards and Technology.

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Business and health care organizations should use the appropriate
Criteria booklets. See page 53 for ordering information.

If you plan to apply for the Award in 2000, you will also need the booklet entitled
2000 Application Forms & Instructions for Business, Education, and Health Care.
Ordering instructions are given on page 53.
Eligibility Forms due — April 6, 2000   Award Applications due — May 31, 2000
We are easy to reach. Our web address is http://www.quality.nist.gov.

Education Criteria Purposes

The Malcolm Baldrige Education Criteria for Performance Excellence are the basis for organizational self-assessments, for making Awards, and for giving feedback to applicants. In addition, the Education Criteria have four other important purposes:

- to help improve organizational performance practices and capabilities;

- to facilitate communication and sharing of best practices information among education organizations and among organizations of all types;

- to foster the development of partnerships involving schools, businesses, human service agencies, and other organizations via related criteria; and

- to serve as a working tool for understanding and improving organizational performance, and guiding planning and training.

Education Criteria for Performance Excellence Goals

The Criteria are designed to help organizations enhance their educational performance through focus on dual, results-oriented goals:

- delivery of ever-improving value to students and other stakeholders, contributing to improved education quality; and

- improvement of overall organizational effectiveness and capabilities as educational organizations.

Core Values and Concepts

The Education Criteria are built upon a set of Core Values and Concepts. These values and concepts are the foundation for integrating key requirements within a results-oriented framework. These values and concepts are the embedded behaviors found in high performing organizations. The Core Values and Concepts are:

Visionary Leadership

An organization's senior leaders need to set directions and create a student-focused, learning-oriented climate, clear and visible directions, and high expectations. The directions, values, and expectations should balance the needs of all your stakeholders. Your leaders need to take part in the development of strategies, systems, and methods for achieving excellence in education, stimulating innovation, and building knowledge and capabilities. The values and strategies should help guide all activities and decisions of your organization. Senior leaders should inspire and motivate the entire faculty and staff and should encourage involvement, development and learning, innovation, and creativity by all faculty and staff.

Through their ethical behavior and personal roles in planning, communications, coaching, developing future leaders, review of organizational performance, and faculty and staff recognition, your senior leaders should serve as role models, reinforcing values and expectations and building leadership, commitment, and initiative within your organization.

In addition to their important role within the organization, senior leaders have other avenues to strengthen education. Reinforcing the learning environment in the organization might require building community support and aligning community and business leaders and community services with this aim.

Learning-Centered Education

Learning-centered education places the focus of education on learning and the real needs of students. Such needs derive from the requirements of the marketplace and the responsibilities of citizenship. Changes in technology and in the national and world economies are creating increasing demands on employees to become knowledge workers and problem solvers, keeping pace with the rapid changes in the marketplace. Most analysts conclude that organizations of all types need to focus more on students' active learning and on the development of problem-solving skills.

Education organizations exist primarily to develop the fullest potential of all students, affording them opportunities to pursue a variety of avenues to success. A learning-centered organization needs to fully understand and translate marketplace and citizenship requirements into appropriate curricula and developmental experiences. Education offerings need to be built around learning effectiveness. Teaching effectiveness needs to stress promotion of learning and achievement.

Key characteristics of learning-centered education are:

- setting high developmental expectations and standards for all students;

- understanding that students may learn in different ways and at different rates. Also, student learning rates and styles may differ over time and may vary depending upon subject matter. Learning may be influenced by support, guidance, and climate factors, including factors that contribute to or impede learning. Thus, the learning-centered organization needs to maintain a constant search for alternative ways to enhance learning. Also, the organization needs to develop actionable information on individual students that bears upon their learning;

- providing a primary emphasis on active learning. This may require the use of a wide range of techniques, materials, and experiences to engage student interest. Techniques, materials, and experiences may be drawn from external sources such as businesses, community services, or social service organizations;

- using formative assessment to measure learning early in the learning process and to tailor learning experiences to individual needs and learning styles;

- using summative assessment to measure progress against key, relevant external standards and norms regarding what students should know and be able to do;

- assisting students and families to use self-assessment to chart progress and to clarify goals and gaps; and

- focusing on key transitions such as school-to-school and school-to-work.

Organizational and Personal Learning

Achieving the highest levels of performance requires a well-executed approach to organizational and personal learning. Organizational and personal learning is a goal of visionary leaders. The term organizational learning refers to continuous improvement of existing approaches and processes and adaptation to change, leading to new goals and/or approaches. Learning needs to be embedded in the way your organization operates. The term embedded means that learning: (1) is a regular part of the daily work of all faculty, staff, and students; (2) is practiced at personal, work unit/department, and organizational levels; (3) results in solving problems at their source; (4) is focused on sharing knowledge throughout your organization; and (5) is driven by opportunities to effect significant change and do better. Sources for learning include faculty and staff ideas, successful practices of other organizations, and educational and learning research findings.

Education improvement needs to place very strong emphasis on effective design of educational programs, curricula, and learning environments. The overall design should include clear learning objectives, taking into account the individual needs of students. Design must also include effective means for gauging student progress. A central requirement of effective design is the inclusion of an assessment strategy. This strategy needs to emphasize the acquisition of formative information — information that provides early indication of whether or not learning is taking place — to minimize problems that might arise if learning barriers are not promptly identified and addressed.

Faculty and staff success depends increasingly on having opportunities for personal learning and practicing new skills. Organizations invest in the personal learning of faculty and staff through education, training, and opportunities for continuing growth. Opportunities might include job rotation and increased pay for demonstrated knowledge and skills. Education and training programs may benefit from advanced technologies, such as computer-based learning and satellite broadcasts.

Personal learning can result in: (1) more satisfied and versatile faculty and staff; (2) greater opportunity for

organizational cross-functional learning; (3) an improved environment for innovation; and (4) a faster and more flexible response to the needs of students and stakeholders.

Valuing Faculty, Staff, and Partners

An organization's success depends increasingly on the knowledge, skills, innovative creativity, and motivation of its faculty, staff, and partners.

Valuing faculty and staff means committing to their satisfaction, development, and well-being. For faculty, development means building not only discipline knowledge, but also knowledge of student learning styles and of assessment methods. Faculty participation might include contributing to organization policies and working in teams to develop and execute programs and curricula. Increasingly, participation is becoming more student-focused and more multi-disciplinary. Organization leaders need to work to eliminate disincentives for groups and individuals to sustain these important, learning-focused professional development activities.

For staff, development might include classroom and on-the-job training, job rotation, and pay for demonstrated skills. Increasingly, training, education, development, and work organizations need to be tailored to a more diverse work force and to more flexible, high performance work practices.

Major challenges in the area of valuing faculty and staff include: (1) demonstrating your leaders' commitment to faculty and staff; (2) providing recognition opportunities that go beyond the normal compensation system; (3) providing opportunities for development and growth within your organization; (4) sharing your organization's knowledge so your faculty and staff can better serve students and stakeholders and contribute to achieving your strategic objectives; and (5) creating an environment that encourages creativity.

Education organizations should also seek to build internal and external partnerships to better accomplish their overall goals.

Internal partnerships might include those that promote cooperation among faculty and staff groups such as unions, departments, and work units. Agreements might be created involving employee development, cross-training, or new work organizations, such as high performance work teams. Internal partnerships might also involve creating network relationships among school units to improve flexibility and responsiveness. External partnerships might include those with other schools, businesses, business associations, and community and social service organizations — all stakeholders and potential contributors.

Partnerships should seek to develop longer-term objectives, thereby creating a basis for mutual investments and respect. Partners should address objectives of the partnership, key requirements for success, means of regular communication, approaches to evaluating progress, and means for adapting to changing conditions.

Agility

An increasingly important measure of your organizational effectiveness is a faster and more flexible response to the needs of your students and stakeholders. Many organizations are learning that explicit focus on and measurement of response times help to drive the simplification of work organizations and work processes. All aspects of time performance are becoming increasingly important and should be among your key process measures. Other important benefits can be derived from this focus on time; time improvements often drive simultaneous improvements in organization, quality, and cost.

Focus on the Future

Pursuit of education improvement requires a strong future orientation and a willingness to make long-term commitments to students and to all stakeholders — communities, employers, faculty, and staff. Your organization should anticipate many types of changes in your strategic planning effort, including changes in education requirements, instructional approaches, resource availability, technology, and demographics. Short- and long-term plans, strategic objectives, and resource allocations need to reflect these influences. A major longer-term investment associated with your organization's improvement is the investment in creating and sustaining a mission-oriented assessment system focused on learning. This entails faculty education and training in assessment methods. It also entails organizational leadership becoming familiar with research findings and practical applications of assessment methods and learning style information.

Other major components of a future focus include developing faculty and staff, seeking opportunities for innovation, and fulfilling public responsibilities.

Managing for Innovation

Innovation is making meaningful change to improve an organization's services and processes and create new value for the organization's stakeholders. Innovation should focus on leading your organization to new dimensions of performance. Innovation is no longer strictly the purview of research. Innovation is important for provision of ever-improving educational value to students and overall improvement of support processes. Organizations should be structured in such a way that innovation becomes part of the culture and daily work.

Management by Fact

Organizations depend upon the measurement and analysis of performance. Such measurements must derive from your organization's mission and strategy and provide critical data and information to address all key requirements. A strong focus on student learning requires a comprehensive and integrated fact-based system — one that includes input data, environmental data, and performance data.

Analysis refers to extracting larger meaning from data and information to support evaluation and decision making within your organization. Analysis entails using data to determine trends, projections, and cause and effect — that might not be evident without analysis. Data and analysis support a variety of purposes, such as planning, reviewing your overall performance, improving operations, and comparing your performance with comparable organizations or with "best practices" benchmarks.

A major consideration in performance improvement involves the selection and use of performance measures or indicators. *The measures or indicators you select should best represent the factors that lead to improved student, operational, and financial performance. A comprehensive set of measures or indicators tied to student, stakeholder, and organizational performance requirements represents a clear basis for aligning all activities with your organization's goals.* Through the analysis of data from the tracking processes, the measures or indicators themselves may be evaluated and changed to better support such goals.

Public Responsibility and Citizenship

An organization's leadership needs to stress the importance of the institution serving as a role model in its operations. This includes protection of public health, safety, and the environment; ethical business practices; and nondiscrimination in all that the organization does. Planning related to public health, safety, and the environment should anticipate adverse impacts that might arise in facilities management, laboratory operations, and transportation. Ethical business practices need to take into account proper use of public and private funds. Nondiscrimination should take into account factors such as student admissions, hiring practices, and treatment of all students and stakeholders.

Organizations should not only meet all local, state, and federal laws and regulatory requirements, they should treat these and related requirements as opportunities for continuous improvement "beyond mere compliance." This requires the use of appropriate measures in managing performance.

Practicing good citizenship refers to leadership and support — within the limits of your organization's resources — of publicly important purposes. Such purposes might include improving education in the community, environmental excellence, community service, and sharing of quality-related information. An example of good citizenship might include influencing other organizations, private and public, to partner for these purposes.

Focus on Results and Creating Value

An organization's performance measurements need to focus on key results. Results should be focused on creating and balancing value for students and all stakeholders. To meet the sometimes conflicting and changing aims that balancing value implies, organizational strategy needs to explicitly include all student and stakeholder requirements. This will help to ensure that actions and plans meet differing student and stakeholder needs and avoid adverse impact on students and/or stakeholders. The use of a balanced composite of leading and lagging performance measures offers an effective means to communicate short- and longer-term priorities, to monitor actual performance, and to provide a focus for improving results.

Systems Perspective

The Baldrige Criteria provide a systems perspective for managing your organization and achieving performance excellence. The Core Values and the seven Baldrige Categories form the building blocks of the system. However, successful management of the overall organization requires synthesis and alignment. Synthesis means looking at your organization as a whole and focusing on what is important. Alignment means concentrating on key organizational linkages among requirements given in the Baldrige Categories.

Alignment is depicted through the Baldrige framework on page 6. Alignment means that your senior leaders are focused on strategic directions and on your students and stakeholders. It means that your senior leaders monitor, respond to, and build on your key results. Alignment means linking your key strategies with your key processes and aligning your resources to improve overall performance and satisfy students and stakeholders.

Thus, a systems perspective means managing your whole organization, as well as its components, to achieve performance improvement.

Linkage of the Education Criteria to the Baldrige Business Sector Criteria

The 2000 Education Criteria incorporate the Core Values and Concepts described above, and are built upon the seven-part framework used in the Business Criteria for Performance Excellence. The rationale for the use of the same framework is that it is adaptable to the requirements of all organizations, including education organizations. However, this adaptation does not assume that these requirements are necessarily addressed in the same way. This adaptation to education, then, is largely a translation of the language and basic concepts of business excellence to similarly important concepts in education excellence. A major practical benefit from using a common framework for all sectors of the economy is that it fosters cross-sector cooperation and sharing of best practices information.

Education Criteria for Performance Excellence Framework

The Core Values and Concepts are embodied in seven Categories, as follows:

1 **Leadership**
2 **Strategic Planning**
3 **Student and Stakeholder Focus**
4 **Information and Analysis**
5 **Faculty and Staff Focus**
6 **Educational and Support Process Management**
7 **Organizational Performance Results**

The figure below provides the framework connecting and integrating the Categories.

From top to bottom, the framework has three basic elements:

Strategy and Action Plans

Strategy and Action Plans (top of figure) yield the set of student and stakeholder focused performance requirements, derived from short- and long-term strategic planning, that must be met and exceeded for your organization's strategy to succeed. Strategy and Action Plans guide overall resource decisions and drive the alignment of measures for all work units to ensure success.

System

The system is comprised of the six Baldrige Categories in the center of the figure that define the organization, its operations, and its results.

Leadership (Category 1), Strategic Planning (Category 2), and Student and Stakeholder Focus (Category 3) represent the leadership triad. These Categories are placed together to emphasize the importance of a leadership focus on strategy and students and stakeholders. Senior leaders must set organizational direction, create a learning environment for your organization, and seek future opportunities for your organization. If your leadership

does not focus on creating a learning environment, your organization as a whole will lack that focus.

Faculty and Staff Focus (Category 5), Educational and Support Process Management (Category 6), and Organizational Performance Results (Category 7) represent the results triad. Your organization's faculty and staff and their key processes accomplish the work of the organization that yields your performance results.

All actions point toward organizational performance results — a composite of student and stakeholder, budgetary and financial, and operational performance, including staff and faculty and public responsibility. The horizontal arrow in the center of the framework links the leadership triad to the results triad, a linkage critical to organizational success. Furthermore, the arrow indicates the central relationship between Leadership (Category 1) and Organizational Performance Results (Category 7). Leaders must keep their eyes on the results and must learn from them to drive improvement.

Information and Analysis

Information and Analysis (Category 4) are critical to the effective management of your organization and to a fact-based system for improving performance. Information and analysis serve as a foundation for the performance management system.

Criteria Structure

The seven Criteria Categories shown in the figure are subdivided into Items and Areas to Address:

Items

There are 19 Items, each focusing on a major requirement. Item titles and point values are given on page 12. The Item format is shown on page 48.

Areas to Address

Items consist of one or more Areas to Address (Areas). Organizations address their responses to the specific requirements of these Areas.

Baldrige Education Criteria for Performance Excellence Framework: A Systems Perspective
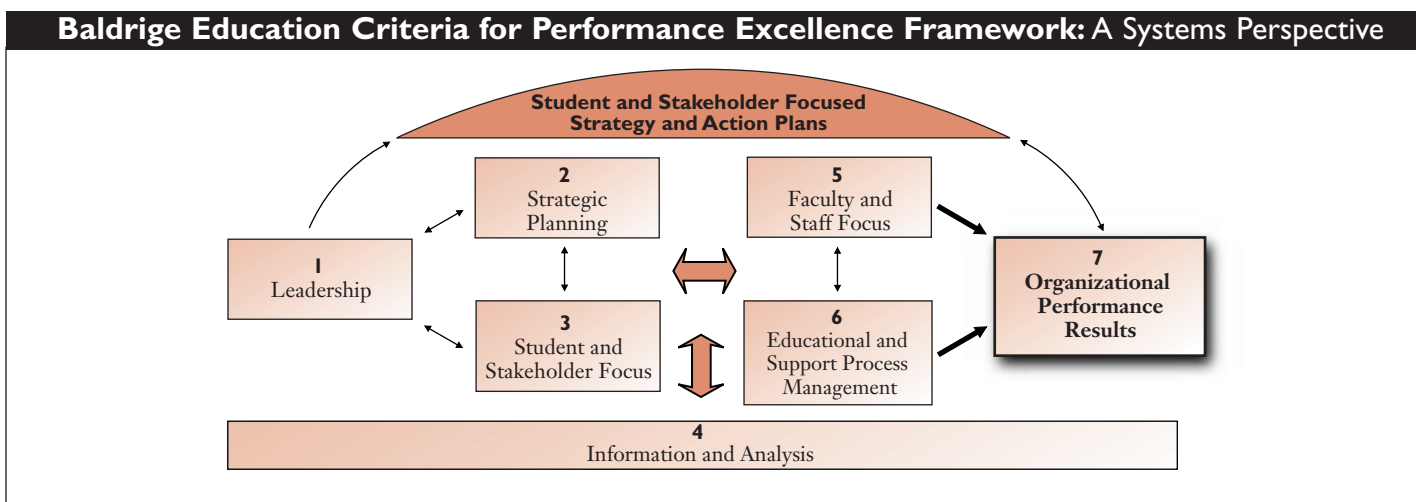
Key Characteristics of the Education Criteria

1. The Criteria focus on organizational performance results.

The Criteria focus on the key areas of organizational performance, given below.

> **Organizational performance areas:**
>
> (1) student performance results;
> (2) student and stakeholder focused results;
> (3) budgetary and financial results;
> (4) faculty and staff results; and
> (5) organizational effectiveness results.

The use of this composite of indicators is intended to ensure that strategies are balanced — that they do not inappropriately trade off among important stakeholders, objectives, or short- and long-term goals.

2. The Criteria are non-prescriptive and adaptable.

The Criteria are made up of results-oriented requirements. However, the Criteria *do not* prescribe:

- specific tools, techniques, technologies, systems, measures, or starting points;

- that your organization should or should not have departments for quality, planning, or other functions;

- how your organization should be structured; or

- that different units in your organization should be managed in the same way.

These factors are important and are likely to change as needs and strategies evolve. Hence, the Criteria do emphasize that such factors be evaluated as part of your organization's performance reviews.

The Criteria are non-prescriptive because:

(1) The focus is on results, not on procedures, tools, or organizational structure. Organizations are encouraged to develop and *demonstrate* creative, adaptive, and flexible approaches for meeting basic requirements. Non-prescriptive requirements are intended to foster incremental and major ("breakthrough") improvement as well as basic change.

(2) Selection of tools, techniques, systems, and organizational structure usually depends upon factors such as organization type and size, your organization's stage of development, and faculty and staff capabilities and responsibilities.

(3) Focus on common requirements, rather than on common procedures, fosters better understanding, communication, sharing, and alignment, while supporting creativity in approaches.

3. The Criteria support a systems perspective to maintaining organization-wide goal alignment.

The systems perspective to goal alignment is embedded in the integrated structure of the Core Values and Concepts, the Criteria, and the results-oriented, cause-effect linkages among the Criteria Items.

Alignment in the Criteria is built around connecting and reinforcing measures derived from your organization's strategy. These measures tie directly to student and stakeholder value and to overall performance. The use of measures thus channels different activities in consistent directions with less need for detailed procedures, centralized decision making, or process management. Measures thereby serve both as a communications tool and a basis for deploying consistent overall performance requirements. Such alignment ensures consistency of purpose while also supporting agility, innovation, and decentralized decision making.

A systems perspective to goal alignment, particularly when strategy and goals change over time, requires dynamic linkages among Criteria Items. In the Criteria, action-oriented cycles of learning take place via feedback between processes and results.

The learning cycles have four, clearly defined stages:

(1) planning, including design of processes, selection of measures, and deployment of requirements;

(2) execution of plans;

(3) assessment of progress, taking into account internal and external results; and

(4) revision of plans based upon assessment findings, learning, new inputs, and new requirements.

4. The Criteria support goal-based diagnosis.

The Criteria and the Scoring Guidelines make up a two-part diagnostic (assessment) system. The Criteria are a set of 19 performance-oriented requirements. The Scoring Guidelines spell out the assessment dimensions — Approach, Deployment, and Results — and the key factors used to assess against each dimension. An assessment thus provides a profile of strengths and opportunities for improvement relative to the 19 basic requirements. In this way, assessment leads to actions that contribute to performance improvement in all areas, as described in the shaded box above. This diagnostic assessment is a useful decision tool that goes beyond most performance reviews and is applicable to a wide range of strategies and management systems.

Integration of Key Education Themes

For the adaptation of the Business Criteria for Performance Excellence to education, several important educational concepts have been given careful consideration and are addressed throughout the Education Criteria:

Mission Specificity

Although education organizations share common aims, individual organizational missions, roles, and programs vary greatly. Use of a single set of criteria to cover all your organizational requirements means that these requirements need to be interpreted in terms of your specific organizational mission. This is necessary because specific requirements and critical success factors differ from organization to organization. For this reason, effective use of the Criteria depends upon putting these mission requirements into operation consistently across the seven Categories of the Criteria framework. In particular, the Strategic Planning Category (2) needs to address all of your key mission requirements, setting the stage for the interpretation of your other requirements. For example, results reported in the Organizational Performance Results Category (7) need to reflect results consistent with your organization's mission and strategic objectives.

The Education Criteria are most explicit in the area of student learning, as this requirement is common to all education organizations, regardless of their larger missions. Despite this commonality, the *focus* of student learning and development depends upon your organizational mission. For example, results reported by trade schools, engineering schools, and music schools would be expected to differ and to reflect each organization's mission. Nevertheless, all three types of organizations would be expected to show year-to-year improvements in their mission-specific results to demonstrate the effectiveness of their performance improvement efforts.

Customers

The Business Criteria for Performance Excellence use the generic term "customers" to reflect the users of products or services. Although marketplace success depends heavily upon user preference, other stakeholders must be considered as well when setting overall organization requirements. Successful operation of an organization may depend upon satisfying environmental, legal, and other requirements. Thus, meaningful criteria need to incorporate all relevant requirements that organizations must meet to be successful.

Education organizations also must respond to a variety of requirements — all of which need to be incorporated into the Education Criteria. The adaptation of the Business Criteria to education includes a specific approach for defining key student requirements. The approach selected distinguishes between students and stakeholders for purposes of clarity and emphasis. Stakeholders include parents, employers, other schools, communities, etc. To further clarify the requirements related to students, the requirements for current students are separated from those of future students. Requirements for current students are more concrete, specific, and immediate; determining requirements for future students is part of the organization's planning, and needs to take into account changing student populations and changing requirements future students must be able to meet. A major challenge organizations face is "bridging" between current student needs and the needs of future students. This requires an effective learning/change strategy.

Stakeholders' requirements are of two types: (1) requirements that need to be reflected in your organization's educational services; and (2) requirements of the stakeholders themselves. For example, parents might request services related to their children's educational program (type 1), and the parents might also request special meeting times with the school to accommodate their work schedules (type 2). Many of the needs of businesses and other stakeholders are actually needs that must be addressed in your organization's educational services to students. The Education Criteria place primary emphasis upon such needs because your organization's success depends heavily upon translating these needs into effective educational services and experiences.

Systems Concept

The systems concept is reflected in the Core Values and Concepts and in the integrated structure of the Criteria. The structure consists of the seven Categories and their Category Items, which provide greater specificity. The integrated structure of the Criteria consists of the numerous linkages between the Categories and Items as depicted in the diagram on page 6. Such linkages are intended to ensure alignment and integration of your overall performance management system. The Criteria stress cause-effect thinking and a process orientation. The intent is to accumulate a body of knowledge to help your organization learn and improve from that learning. One of the main elements in the systems approach is the set of measures and/or indicators used. Such measures and indicators link key processes to key mission results.

Concept of Excellence

The concept of excellence built into the Criteria is that of demonstrated performance. Such performance has two manifestations: (1) year-to-year improvement in key measures and/or indicators of performance, especially student learning; and (2) demonstrated leadership in performance and performance improvement relative to comparable organizations and/or to appropriate benchmarks.

This concept of excellence is selected because: (1) it places the major focus on teaching/learning strategies; (2) it poses similar types of challenges for all organizations regardless of resources and/or incoming student preparation/abilities; (3) it is most likely to stimulate learning-related research and to offer a means to disseminate the results of such research; and (4) it offers the potential to create an expanding body of knowledge of successful teaching/learning practices in the widest range of organizations.

The focus on "value-added" contributions by your organization does not presuppose manufacturing-oriented, mechanistic, or additive models of student development. Also, the use of a value-added concept does not imply that your organization's management system should include documented "procedures" or attempt to define "conformity" or "compliance." Rather, the performance concept in the Education Criteria means that your organization should view itself as a key developmental influence (though not the only influence), and that your organization should seek to understand and optimize its influencing factors, guided by an effective assessment strategy.

Assessment Strategy

Central and crucial to the success of the concept of excellence in the Education Criteria is a well-conceived and well-executed assessment strategy. The characteristics of such a strategy should include the following:

- clear ties between what is assessed and your organization's mission objectives. This means not only what your students know, but also what they are able to do;

- a strong focus on improvement — of your student performance, your faculty capabilities, and your organization's program performance;

- an assessment that is embedded and ongoing, with prompt feedback;

- an assessment that is curriculum-based and criterion-referenced, addressing your key learning goals and your overall performance requirements;

- clear guidelines regarding how your assessment results will be used and how they will not be used; and

- an ongoing evaluation of your assessment system itself to improve the connection between assessment and student success. Success factors should be developed based on external requirements such as those derived from the marketplace and other organizations on an ongoing basis.

Primary Focus on Teaching and Learning

Although the Education Criteria Framework is intended to address all organizational requirements, including research and service, primary emphasis is placed on teaching and learning. This is done for three main reasons:

(1) Teaching and learning are the principal goals of education organizations. Thus, sharing of successful teaching and learning strategies and methods would have the greatest impact on the nation's education improvement.

(2) Those who encouraged the creation of a Baldrige Award category for education cited improvement in teaching and learning as their primary or only rationale for such an award.

(3) Only a small percentage of education organizations engage in research. Peer review systems exist to evaluate research. Funding organizations and businesses provide avenues to channel the directions of much research. Numerous excellent forums and media already exist for sharing research results. Much of the research performed in education organizations involves students as part of the students' overall education. The educational role of research is incorporated in the Education Criteria as part of teaching and learning. Other important aspects of research — faculty development and student/faculty recruitment — are also addressed in the Criteria.

Changes from the 1999 Education Criteria for Performance Excellence

The Education Criteria for Performance Excellence, like their health care and business counterparts, evolve with changing performance requirements and as these requirements become better understood. For 2000, there are a number of key changes in the Education Criteria, intended to improve their usefulness in organizational self-assessment and learning, and for national role model determination in the Award process. In addition, the 2000 Education Criteria are brought into closer alignment with the Business Criteria (*2000 Criteria for Performance Excellence*), thus enabling better communication and cooperation among education organizations and businesses — a major goal of the Baldrige National Quality Program.

The most significant changes in the Education Criteria are summarized as follows:

- The number of Items has increased from 18 to 19.

- The number of Areas to Address has increased from 26 to 27.

- All Items have been rewritten as questions to enhance clarity and readability.

- The word "organization" has been substituted for "school" wherever possible. This change has been made because many users of the Criteria are subunits of schools, school systems, or universities.

- The Core Values and Concepts have been revised.

- The Glossary of Key Terms has been revised and expanded.

- The Category and Item Descriptions have been rewritten and reformatted.

- The Scoring Guidelines have been revised for Approach/Deployment Items.

- The Guidelines for Responding to Approach/Deployment Items have been modified to explain the desired responses for questions that begin with *How* and for questions that begin with *What*.

Changes have been made throughout the Education Criteria booklet. A more detailed explanation of the most significant changes follows:

Categories and Items

Category 1 — Leadership

- Item 1.1 is now *Organizational Leadership* instead of Leadership System (1999). This change is intended to emphasize the role of senior leaders in setting directions and in creating an environment for education excellence. *Organizational Performance Review* (Area 1.1b) has been moved to this Item from Item 4.3 (1999) to emphasize the senior leaders' role in and responsibility for performance review.

- Item 1.2 remains *Public Responsibility and Citizenship*, but Area 1.2a is now titled *Responsibilities to the Public*.

Category 2 — Strategic Planning

- Item 2.1 is now *Strategy Development*, with two key purposes: (1) describing the strategy development process; and (2) providing key current strategic objectives that result from the strategy development process.

- Item 2.2 is now *Strategy Deployment*, with emphasis on the important steps in deploying strategy: developing and identifying action plans to address the organization's strategic objectives, identifying key performance measures to track progress, and deploying the action plans and performance measures.

Category 3 — Student and Stakeholder Focus

- Item 3.2 is now *Student and Stakeholder Satisfaction and Relationships* instead of Student and Stakeholder Satisfaction and Relationship Enhancement. Also, Area 3.2a is changed to *Student and Stakeholder Relationships* from Stakeholder Relationship Enhancement (1999). The changes in titles provide clearer and simpler focus on the purpose of the Item.

Category 4 — Information and Analysis

- This Category now contains two Items, reduced from three in 1999. Category emphasis is on organizational performance measurement and analysis as the purposes for data and information gathering.

- Item 4.1, *Measurement of Organizational Performance*, replaces Items 4.1 and 4.2 from 1999. The Item emphasizes the key information and data, including comparative and benchmarking information and data (a separate Item in 1999), needed for an effective performance measurement system and for alignment of performance throughout the organization.

- Item 4.2 is now *Analysis of Organizational Performance* instead of Analysis and Review of School Performance (Item 4.3 in 1999). The review function, as indicated above, is now in Item 1.1, to emphasize performance review as a central role of senior leadership.

Category 5 — Faculty and Staff Focus

- The basic Category purposes and structure remain the same as in 1999, but several changes in titles are made to improve clarity.

- In Item 5.1, there is now one Area, *Work Systems*, that combines two areas, Work Design and Compensation and Recognition, from 1999.

- In Item 5.2, Area 5.2a is now titled *Faculty and Staff Education, Training, and Development* instead of Faculty and Staff Development.

- In Item 5.3, Area 5.3b is now titled *Faculty and Staff Support Climate* instead of Work Climate.

Category 6 — Educational and Support Process Management

- The Category now contains three Items. The Item added (6.3) is titled *Partnering Processes*.

- In Item 6.2, Area 6.2a is now titled *Education Support Processes*.

- Item 6.3, the new Item, addresses the important partnering processes associated with student transitions into and out of schools and from school to work.

Category 7 — Organizational Performance Results

- The Category now consists of five Items, an increase of one from 1999. The Item added is titled *Budgetary and Financial Results* (Item 7.3). Overall, the changes, including the point values assigned, are intended to provide better focus on all key dimensions of organizational performance.

- Item 7.1 remains *Student Performance Results*, but the point value has been significantly increased.

- Item 7.2 is now *Student and Stakeholder Focused Results* but retains the same basic purposes as in 1999.

- Item 7.3 is now *Budgetary and Financial Results* separating out cost and financial performance results included in Item 7.4 (School-Specific Results in 1999). The addition of this Item is intended to provide improved focus on the connection between use of financial resources and organizational planning. Also, education organizations face financial constraints in the use of resources which necessitate more business-like practices. In addition, some education organizations are for-profit entities.

- Item 7.4 is now *Faculty and Staff Results* (Item 7.3 in 1999).

- Item 7.5 is now *Organizational Effectiveness Results*, derived from Item 7.4, School-Specific Results (1999).

Core Values and Concepts

- Many of the Core Values and Concepts have been changed to better align with the foundation for the current Criteria. The number of Core Values and Concepts remains constant at 11.

- The following Core Values and Concepts have replaced the indicated 1999 Core Values and Concepts: *Visionary Leadership* replaces Leadership; *Organizational and Personal Learning* replaces Continuous Improvement and Organizational Learning; *Valuing Faculty, Staff, and Partners* replaces Valuing Faculty and Staff; *Agility* replaces Fast Response; *Focus on the Future* replaces Long-Range View of the Future; and *Focus on Results and Creating Value* replaces Results Orientation. The new Core Values and Concepts are intended to provide a more holistic and current view of organizational performance excellence.

- Two of the 1999 Core Values and Concepts, Design Quality and Prevention and Partnership Development, have been incorporated into the new Core Values and Concepts.

- Two new Core Values and Concepts have been added to underpin the current Criteria: *Managing for Innovation* and *Systems Perspective*.

- Three 1999 Core Values and Concepts remain: *Learning-Centered Education; Management by Fact;* and *Public Responsibility and Citizenship*.

Glossary of Key Terms

- The following key terms have been added to the Glossary: Analysis, Approach, Deployment, Empowerment, Innovation, Results, Strategic Objectives, Systematic, and Value. All of these terms have very specific meanings in the Baldrige context.

Category and Item Descriptions

- Each Item Description now has three parts: *Purpose, Requirements,* and *Comments*. This three-part presentation is intended to better aid the understanding of the Criteria Items. *Purpose* tells you what the Item is examining and why. *Requirements* summarizes the key Item requirements. *Comments* provides additional explanation and examples of how you might address the Item requirements.

Scoring Guidelines

- The word *effective* replaces the word *sound* for Approach/Deployment Items in the Scoring Guidelines. *Effective* relates to producing the desired result and to appropriateness for intended use. *Effective* is a better term in the context of a Baldrige assessment.

2000 EDUCATION CRITERIA FOR PERFORMANCE EXCELLENCE — ITEM LISTING

2000 Categories/Items	Point Values

1 Leadership — 125

1.1	Organizational Leadership	85
1.2	Public Responsibility and Citizenship	40

2 Strategic Planning — 85

2.1	Strategy Development	40
2.2	Strategy Deployment	45

3 Student and Stakeholder Focus — 85

3.1	Knowledge of Student Needs and Expectations	40
3.2	Student and Stakeholder Satisfaction and Relationships	45

4 Information and Analysis — 85

4.1	Measurement of Organizational Performance	40
4.2	Analysis of Organizational Performance	45

5 Faculty and Staff Focus — 85

5.1	Work Systems	35
5.2	Faculty and Staff Education, Training, and Development	25
5.3	Faculty and Staff Well-Being and Satisfaction	25

6 Educational and Support Process Management — 85

6.1	Education Design and Delivery	55
6.2	Education Support Processes	15
6.3	Partnering Processes	15

7 Organizational Performance Results — 450

7.1	Student Performance Results	200
7.2	Student and Stakeholder Focused Results	70
7.3	Budgetary and Financial Results	40
7.4	Faculty and Staff Results	70
7.5	Organizational Effectiveness Results	70

TOTAL POINTS — 1000

Note: The Scoring System used with the Criteria Items in a Baldrige assessment can be found on pages 45-46.

1 Leadership (125 pts.)

The *Leadership* Category examines how your organization's senior leaders address organizational values and performance expectations, as well as a focus on students and stakeholders, student learning, empowerment, innovation, organizational learning, and organizational directions. Also examined is how your organization addresses its responsibilities to the public and supports its key communities.

1.1 Organizational Leadership (85 pts.)

Approach - Deployment

Describe how senior leaders guide your organization and review organizational performance.

Within your response, include answers to the following questions:

a. Senior Leadership Direction

(1) How do senior leaders set, communicate, and deploy organizational mission and core values, performance expectations, and a focus on student learning and development? How do senior leaders create and balance value for students and stakeholders? Include communication and deployment through your leadership structure and to all faculty and staff.

(2) How do senior leaders establish and reinforce an educational environment that promotes ethical values, equity for all students, empowerment, innovation, and safety, and that encourages and supports organizational learning?

(3) How do senior leaders set directions and address current and future opportunities for your organization?

b. Organizational Performance Review

(1) How do senior leaders review organizational performance and capabilities to assess organizational health, performance relative to comparable organizations and key benchmarks, and progress relative to performance goals and changing organizational needs? Include the key performance measures regularly reviewed by your senior leaders.

(2) How do you translate organizational performance review findings into priorities for improvement and opportunities for innovation?

(3) What are your key recent performance review findings, priorities for improvement, and opportunities for innovation? How are they deployed throughout your organization and, as appropriate, to your feeder and/or receiving schools, suppliers, and key stakeholders to ensure organizational alignment?

(4) How do senior leaders use organizational performance review findings and faculty and staff feedback to improve their leadership effectiveness and the effectiveness of management throughout the organization?

Notes:

N1. The term organization, as used in the Criteria, refers to the unit being assessed. The unit might be a school, a school district, a post-secondary institution, or a major academic unit within a college or university. The term stakeholder, as used in the Criteria, might include parents, parent organizations, social service organizations, boards, alumni, and businesses.

N2. The term senior leaders, as used in the Criteria, refers to those with the main responsibility for managing the overall organization.

N3. Your organizational performance results should be reported in Items 7.1, 7.2, 7.3, 7.4, and 7.5.

Item notes serve three purposes: (1) clarify terms or requirements presented in Criteria Items; (2) give instructions on responding to the Criteria Item requirements; or (3) indicate key linkages to other Items. In all cases, the intent is to help you respond to the Criteria Item requirements.

Item responses are assessed by considering the Criteria Item requirements and the maturity of your approaches, breadth of deployment, and strength of your improvement process and results relative to the Scoring System. Refer to the Scoring System information on pages 45-46.

For definitions of the following **key terms**, see pages 30-31: alignment, approach, deployment, empowerment, innovation, measures, performance, and value.

1.2 Public Responsibility and Citizenship (40 pts.) `Approach - Deployment`

Describe how your organization addresses its responsibilities to the public and how your organization practices good citizenship.

Within your response, include answers to the following questions:

a. Responsibilities to the Public

   (1) How do you address the impacts on society of your operations? Include your key practices, measures, and targets for safety, regulatory, accreditation, and legal requirements and for risks associated with your operations.

   (2) How do you anticipate public concerns with current and future operations? How do you prepare for these concerns in a proactive manner?

   (3) How do you ensure ethical practices in all student and stakeholder interactions?

b. Support of Key Communities

How do your organization, your senior leaders, your faculty and staff, and students actively support and strengthen your key communities? How do you identify key communities and determine areas of emphasis for organizational involvement and support? Include how community involvement reflects your organization's mission and/or values.

Notes:

N1. Public responsibilities in areas critical to your organization also should be addressed in Strategy Development (Item 2.1) and in Educational and Support Process Management (Category 6). Key results, such as results of regulatory/legal compliance, should be reported as Organizational Effectiveness Results (Item 7.5).

N2. Areas of community support appropriate for inclusion in 1.2b might include your efforts to strengthen local community services, the environment, and practices of professional associations.

N3. Health and safety of students and stakeholders are included in Item 1.2. However, health and safety of faculty and staff are not addressed in Item 1.2; you should address these factors in Item 5.3.

2   Strategic Planning (85 pts.)

The *Strategic Planning* Category examines your organization's strategy development process, including how your organization develops strategic objectives, action plans, and related faculty and staff resource plans. Also examined are how plans are deployed and how performance is tracked.

2.1   Strategy Development (40 pts.)   Approach - Deployment

Describe your organization's strategy development process to address key student and stakeholder needs and to strengthen organizational performance. Summarize your key strategic objectives.

Within your response, include answers to the following questions:

a. **Strategy Development Process**

(1) What is your strategic planning process? Include key steps and key participants in the process.

(2) How do you consider the following key factors in your process? Include how relevant data and information are gathered and analyzed.

The key factors are:

- current and future student/stakeholder and market needs/expectations, including new educational service and student development opportunities
- key external factors, requirements, and opportunities, including your competitive environment and capabilities, and use of new technology
- budgetary and other potential risks
- your faculty and staff capabilities and needs
- your overall operational capabilities to meet student and stakeholder needs, including your capability to assess student learning and development
- your resource needs and availability

b. **Strategic Objectives**

What are your key strategic/longer-term objectives and your timetable for accomplishing them? In setting objectives, how do you evaluate options to assess how well they respond to the factors in 2.1a(2) most important to your performance?

Notes:

N1. Strategy development refers to your organization's approach (formal or informal) to a future-oriented basis for making or guiding decisions, priorities, resource allocations, and organization-wide management. Such development might utilize various types of forecasts, projections, options, scenarios, and/or other approaches to addressing the future.

N2. You should interpret the word strategy broadly. Strategy might be built around or lead to any or all of the following: addition or termination of programs; modifications in instructional design; use of technology; changes in testing and/or adoption of standards; services to new/changing student populations; research priorities; and partnerships with other organizations.

Strategy might depend upon or require you to develop different kinds of capabilities, such as rapid response and innovation, customization of educational offerings, understanding a changing educational market, relationships, and technology and information management. Responses to Item 2.1 should address the key factors from your point of view, taking into account opportunities and constraints the organization faces.

N3. Item 2.1 addresses your overall organizational directions and strategy that might include changes in educational services and programs. However, the Item does not address educational service and program design; you should address these factors in Item 6.1.

2.2 Strategy Deployment (45 pts.)

Describe your organization's strategy deployment process. Summarize your organization's action plans and related performance measures. Project the performance of these key measures into the future.

Within your response, include answers to the following questions:

a. **Action Plan Development and Deployment**

   (1) How do you develop action plans that address your key strategic objectives? What are your key short- and longer-term action plans? Include key changes, if any, in your services/programs and/or your anticipated or planned students/stakeholders.

   (2) What are your key faculty and staff resource requirements and plans, based on your strategic objectives and action plans?

   (3) How do you allocate resources to ensure accomplishment of your overall action plan?

   (4) What are your key performance measures and/or indicators for tracking progress relative to your action plans?

   (5) How do you communicate and deploy your strategic objectives, action plans, and performance measures/indicators to achieve overall organizational alignment?

b. **Performance Projection**

   (1) What are your two-to-five year projections for key performance measures and/or indicators? Include key performance targets and/or goals, as appropriate.

   (2) How does your projected performance compare with comparable organizations, key benchmarks, and past performance, as appropriate? What is the basis for these comparisons?

Notes:

N1. Action plan development and deployment are closely linked to other Items in the Criteria and to the performance excellence framework on page 6. Examples of key linkages are:

- Item 1.1 for how your senior leaders set and communicate directions;

- Category 3 for gathering student and stakeholder information and feedback as input to your strategy and action plans, and for deploying action plans;

- Category 4 for information and analysis to support your development of strategy, to provide an effective performance basis for your performance measurements, and to track progress relative to your strategic objectives and action plans;

- Category 5 for your work system needs, faculty and staff education, training and development needs, and related faculty and staff resource factors resulting from your action plans;

- Category 6 for process requirements resulting from action plans; and

- Category 7 for accomplishments relative to your organizational strategy.

N2. Measures and/or indicators of projected performance (2.2b) might include changes resulting from innovations in education delivery and/or use of technology, redirection of resources, effectiveness of research and services, improved performance of administrative and other support functions, and improvement in safety.

For definitions of the following **key terms**, see pages 30-31: action plans, measures and indicators.

3 Student and Stakeholder Focus (85 pts.)

The *Student and Stakeholder Focus* Category examines how your organization determines requirements, expectations, and preferences of its students and stakeholders. Also examined is how your organization builds relationships with students and stakeholders and determines their satisfaction.

3.1 Knowledge of Student Needs and Expectations (40 pts.) Approach - Deployment

Describe how your organization determines short- and longer-term requirements, expectations, and preferences of current and future students to ensure the relevance of the organization's educational and support services, to develop new educational service opportunities, and to create an overall climate conducive to learning and development for all students.

Within your response, include answers to the following questions:

a. Knowledge of Student Needs and Expectations
  (1) How do you maintain an awareness of key general and special needs and expectations of current students? How are needs and expectations determined, aggregated, and analyzed, and how is this information deployed to all appropriate organizational units?

  (2) How do you monitor student utilization of offerings, facilities, and services to determine their influence upon active learning, satisfaction, and development? How is information on student segments and/or individual students developed for purposes of engaging all students in active learning?

  (3) How do you learn from your former, current, and future students to determine and anticipate changing needs and expectations? Include:

  • demographic data and trends that may bear upon enrollments and needs
  • changing requirements and expectations your graduates will face
  • changing requirements and expectations resulting from national, state, or local requirements
  • educational alternatives available to your pool of future students
  • how your organization analyzes the information to develop actionable data and information as input to planning

  (4) How do you keep your listening and learning methods current with educational service needs and directions?

Notes:

N1. Student needs might take into account information from your students and key stakeholders such as families, employers, and other schools. Needs include educational, developmental, and other requirements, such as safety, and social and ethical development.

N2. Student segments [3.1a(2)] refers to groups of students with similar needs. The basis for the groupings might reflect their career interests, learning styles, living status (residential vs. commuter), family income, or other factors.

N3. Use of trend data [3.1a(3)] refers to information your organization collects that shows year-to-year changes. Such changes might reflect specific and/or local factors important to your organization. In some cases, such local factors could be different from national trends.

N4. Changing requirements of graduates [3.1a(3)] should reflect requirements set by stakeholders — other schools and employers — taking into account paths followed by your school's graduates. This might include qualification standards, licensure requirements, workplace skills such as teamwork, and admission requirements.

3.2 Student and Stakeholder Satisfaction and Relationships (45 pts.)

Describe how your organization determines the satisfaction of students and stakeholders and builds relationships to retain students, to enhance student performance, and to develop new educational services.

Within your response, include answers to the following questions:

a. Student and Stakeholder Relationships

(1) How do you build relationships with students and stakeholders to support and enhance the organization's overall ability to deliver its services and to foster continuing interactions and/or positive referral? How do you build relationships with or seek to understand future students?

(2) How does the organization maintain effective stakeholder relationships? How are regular and special access needs addressed? What key measures and/or indicators are used to monitor the effectiveness and progress of the organization's key relationships? How does the organization develop partnerships with key stakeholders to pursue common purposes?

(3) What is your complaint management process? Include how you ensure that complaints are resolved effectively and promptly, and that all complaints received are aggregated and analyzed for use in overall organizational improvement.

(4) How do you keep your approaches to effective relationships with students and stakeholders current with educational service needs and directions?

b. Student and Stakeholder Satisfaction Determination

(1) What processes, measurement methods, and data do you use to determine student and stakeholder satisfaction and dissatisfaction? Include how your measurements capture actionable information that reflects your organization's learning and developmental climate, students' and stakeholders' future interactions with your organization, and/or potential for positive referral. Also include any significant differences in processes or methods for different student and stakeholder groups.

(2) How do you follow up on your interactions with students and key stakeholders to receive prompt and actionable feedback?

(3) How do you obtain and use information on student and stakeholder satisfaction relative to other organizations delivering similar educational services and/or benchmarks, as appropriate?

(4) How do you keep your approaches to satisfaction determination current with educational service needs and directions?

Notes:

N1. Stakeholder relationships (3.2a) might include the development of partnerships or alliances.

N2. Student and stakeholder satisfaction and dissatisfaction determination (3.2b) might include any or all of the following: surveys, formal and informal feedback from students and stakeholders, complaints, dropout rates, absenteeism, and student conflict.

N3. Student and stakeholder satisfaction measurements might include both a numerical rating scale and descriptors for each unit in the scale. Actionable student and stakeholder satisfaction measurements provide reliable information about student and stakeholder ratings of your specific educational services and/or interactions, the linkage between these ratings and your student development and learning, and student/stakeholder future actions, such as transfer and positive referral.

N4. Your student and stakeholder satisfaction and dissatisfaction results and information on educational service measures that contribute to student and stakeholder satisfaction or dissatisfaction should be reported in Item 7.2. These latter measures might include trends and levels in performance of student/stakeholder-desired services or your student/stakeholder complaint handling effectiveness (such as complaint response time, effective resolution, and percent of complaints resolved on first contact).

4 Information and Analysis (85 pts.)

The *Information and Analysis* Category examines your organization's performance measurement system and how your organization analyzes performance data and information.

4.1 Measurement of Organizational Performance (40 pts.)

Describe how your organization provides effective performance measurement systems for understanding, aligning, and improving organizational performance at all levels and in all parts of your organization.

Within your response, include answers to the following questions:

a. Measurement of Organizational Performance

(1) How do you address the major components of an effective performance measurement system, including the following key factors?

- selection of measures/indicators, and extent and effectiveness of their use in daily operations

- selection and integration of measures/indicators and completeness of data to track your overall organizational performance and educational climate

- selection, and extent and effectiveness of use of key comparative data and information from within and outside the academic community

- data and information reliability and confidentiality

- a cost/financial and budgetary understanding of improvement options

- correlations/projections of data to support planning

(2) How do you keep your performance measurement system current with educational service needs and directions?

Notes:

N1. The term information and analysis refers to the key metrics used by your organization to measure and analyze performance. Performance measurement is used in fact-based decision making for setting and aligning organizational directions and resource use at your classroom, departmental, school/college, and whole organization levels.

N2. Deployment of data and information might be via electronic or other means. Reliability [4.1a(1)] includes reliability of software and delivery systems.

N3. Comparative data and information include benchmarking and competitive comparisons. Benchmarking refers to processes and results that represent best practices and performance for similar activities, inside or outside the academic community. Competitive comparisons refer to performance relative to comparable organizations and/or student populations and to competing organizations, as appropriate.

4.2 Analysis of Organizational Performance (45 pts.)

Describe how your organization analyzes performance data and information to assess and understand overall organizational performance.

Within your response, include answers to the following questions:

a. Analysis of Organizational Performance

(1) How do you perform analyses to support your senior leaders' organizational performance review and your organizational planning? How do you ensure that the analyses address the overall health of your organization, including your key student performance and other educational mission results and strategic objectives?

(2) How do you ensure that the results of organizational-level analysis are linked to faculty/staff and/or educational program processes to enable effective support for decision making?

(3) How does analysis support daily operations throughout your organization? Include how this analysis ensures that measures align with action plans.

Notes:

N1. Analysis includes trends, projections, comparisons, and cause-effect correlations intended to support your organizational performance reviews and the setting of priorities for resource use. Accordingly, analysis draws upon all types of data: student, student group, school program, stakeholder, operational, budgetary, and comparative data.

N2. Your student and organizational performance results should be reported in Items 7.1, 7.2, 7.3, 7.4, and 7.5.

5 Faculty and Staff Focus (85 pts.)

The *Faculty and Staff Focus* Category examines how your organization enables faculty and staff to develop and utilize their full potential, aligned with the organization's objectives. Also examined are your organization's efforts to build and maintain a work environment and a faculty and staff support climate conducive to performance excellence, full participation, and personal and organizational growth.

5.1 Work Systems (35 pts.)   Approach - Deployment

Describe how your organization's work and job design, compensation, career progression, and related work force practices enable faculty and staff to achieve educational objectives and high performance.

Within your response, include answers to the following questions:

a. Work Systems

(1) How do you design, organize, and manage work and jobs for faculty and staff to promote cooperation and collaboration, individual initiative, innovation, and flexibility, and to keep current with educational service and student development needs?

(2) How do your administrators and supervisors encourage and motivate faculty and staff to develop and utilize their full potential? Include formal and/or informal mechanisms you use to encourage and support faculty and staff in job- and career-related development/learning objectives.

(3) How does your faculty and staff performance management system, including feedback to faculty and staff, support high performance?

(4) How do your compensation, recognition, and related reward/incentive practices reinforce high performance, including your overall objectives for student learning and development?

(5) How do you ensure effective communication, cooperation, and knowledge/skill sharing across work units, functions, and locations, as appropriate?

(6) How do you identify characteristics and skills needed by potential faculty and staff; how do you recruit and hire new faculty and staff? How do you take into account key performance requirements, diversity of your community, and fair work force practices?

Notes:

N1. The terms faculty and staff refer to your organization's permanent, temporary, and part-time personnel, as well as any contract faculty and staff supervised by your organization. You should address contract faculty and staff supervised by a contractor in Item 6.2.

N2. The term work design refers to how your faculty and staff are organized and/or organize themselves in formal and informal, temporary, or longer-term units. This might include work teams, curriculum design teams, problem-solving teams, centers of excellence, research teams, cross-functional teams, and departments — self-managed or managed by supervisors.

The term job design refers to responsibilities, authorities, and tasks of individuals. In some work systems, jobs might be shared by a team, based upon cross-training or discipline expertise.

N3. Compensation and recognition include promotions and bonuses that might be based upon performance, skills acquired, and other factors. Recognition includes monetary and nonmonetary, formal and informal, and individual and group recognition. Recognition systems for volunteers who contribute to the work of your organization should be included, as appropriate.

5.2 Faculty and Staff Education, Training, and Development (25 pts.)

Describe how your organization's faculty and staff education and training support the achievement of your students' overall educational and developmental objectives, build faculty and staff knowledge, skills, and capabilities, and contribute to improved faculty and staff performance.

Within your response, include answers to the following questions:

a. Faculty and Staff Education, Training, and Development

    (1) How does your faculty and staff education and training approach balance short- and longer-term organizational and faculty and staff needs, including certification, licensure, development, learning, and career progression?

    (2) How do you design education and training for faculty and staff to keep current with educational service and individual needs? Include how job and organizational performance are used in education and training design and evaluation.

    (3) How do you seek and use input from faculty and staff and their senior leaders and supervisors on education and training needs, expectations, and design?

    (4) How do you deliver and evaluate faculty and staff education and training? Include formal and informal education, training, and learning, as appropriate.

    (5) How do you address key faculty and staff developmental and training needs, including diversity training, leadership development, new faculty/staff orientation, and safety, as appropriate?

    (6) How do you address performance excellence in your faculty and staff education and training? Include how faculty and staff learn to use performance measurements, performance standards, skill standards, new technology, assessment and research practices, and benchmarking, as appropriate.

    (7) How do you reinforce knowledge and skills on the job?

Note:

Education and training delivery [5.2a(4)] might occur inside or outside your organization and involve on-the-job, classroom, computer-based, distance learning, and/or other types of delivery (formal or informal).

5.3 Faculty and Staff Well-Being and Satisfaction (25 pts.)   Approach - Deployment

Describe how your organization maintains a work environment and faculty and staff support climate that contribute to the well-being, satisfaction, and motivation of all faculty and staff.

Within your response, include answers to the following questions:

a. **Work Environment**
How do you address and improve workplace health, safety, and ergonomic factors? How do faculty and staff take part in identifying these factors and in improving workplace safety? Include performance measures and/or targets for each key environmental factor. Also include significant differences, if any, based on different work environments for faculty and staff groups and/or work units.

b. **Faculty and Staff Support Climate**
   (1) How do you enhance your faculty and staff work climate via services, benefits, and policies? How are these enhancements selected and tailored to the needs of different categories and types of faculty and staff, and to individuals, as appropriate?

   (2) How does your work climate consider and support the needs of a diverse work force?

c. **Faculty and Staff Satisfaction**
   (1) How do you determine the key factors that affect faculty and staff well-being, satisfaction, and motivation?

   (2) What formal and/or informal evaluation methods and measures do you use to determine faculty and staff well-being, satisfaction, and motivation? How do you tailor these methods and measures to a diverse work force and to different categories and types of faculty and staff? How do you use other indicators such as faculty and staff turnover, absenteeism, and grievances to assess and improve faculty and staff well-being, satisfaction, and motivation?

   (3) How do you relate evaluation findings to key organizational performance results to identify work environment and faculty and staff support climate improvement priorities?

Notes:

N1. Approaches for enhancing your faculty and staff work climate [5.3b(1)] might include: counseling; career development and employability services; recreational or cultural activities; non-work-related education; day care; job rotation and/or sharing; special leave for family responsibilities and/or for community service; home safety training; flexible work hours; outplacement; and retiree benefits (including extended health care).

N2. Specific factors that might affect your faculty and staff well-being, satisfaction, and motivation [5.3c(1)] include: effective faculty and staff problem or grievance resolution; safety factors; faculty and staff views of leadership; faculty and staff training, development, and career opportunities; faculty and staff preparation for changes in technology or the work organization; work environment and other work conditions; workload; cooperation and teamwork; recognition; benefits; communications; job security; compensation; and equal opportunity.

N3. Measures and/or indicators of well-being, satisfaction, and motivation [5.3c(2)] might include: safety; absenteeism; turnover; grievances; strikes; other job actions; insurance costs; worker's compensation claims; and results of surveys. Your results relative to such measures and/or indicators should be reported in Item 7.4.

N4. Priority setting [5.3c(3)] might draw upon your faculty and staff results presented in Item 7.4 and might involve addressing faculty and staff problems based on their impact on your organizational performance.

6 Educational and Support Process Management (85 pts.)

The *Educational and Support Process Management* Category examines the key aspects of your organization's process management, including learning-focused education design and delivery, support services, and partnering processes involving all work units.

6.1 Education Design and Delivery (55 pts.) `Approach - Deployment`

Describe how your organization manages key design and delivery processes for your educational programs and offerings.

Within your response, include answers to the following questions:

a. Education Design

(1) What are your design processes for educational programs and offerings, their related delivery processes, and their key performance requirements?

(2) How do you ensure that all programs, offerings, and experiences address student educational, developmental, and well-being needs, meet high standards, and focus on active learning, anticipating and preparing for individual differences in student learning rates and styles?

(3) How do you incorporate changing student and stakeholder requirements into educational programs and offerings and their related delivery processes?

(4) How do you incorporate new technology into educational programs and offerings and their related delivery processes, as appropriate?

(5) How do you address sequencing and offering linkages?

(6) How do you incorporate a measurement plan that makes effective use of formative and summative assessment?

(7) How do you ensure that faculty and staff are properly prepared to implement your educational programs and offerings?

b. Education Delivery

(1) How do you ensure that ongoing educational programs and offerings meet key design and delivery requirements?

(2) What are your key educational programs and offerings, and what observations, measures, and/or indicators are used to monitor their delivery?

(3) How are these observations, measures, and/or indicators used to provide timely information to help students and faculty achieve learning objectives?

(4) How do you improve your educational programs and offerings? Include research on learning, assessment, and instructional methods and new learning technology.

(5) How are improvements shared with other organizational units and programs, as appropriate?

N1. Educational programs and offerings may include courses, research, co-op projects, and overseas studies. Education should be interpreted broadly. It includes programs and offerings in trade schools, art and music schools, and other specialized schools.

N2. Education design and delivery might take into account computer-assisted, distance, and Web-based learning and making offerings available at different locations and times to meet student needs.

N3. Sequencing and offering linkages [6.1a(5)] include not only relationships within a single discipline, but also relationships to related disciplines.

N4. A measurement plan [6.1a(6)] should be holistic and define what is to be assessed and measured; how and when assessments and measurements are to be made; and how the results will be used.

N5. Proper preparation of your faculty [6.1a(7)] might address subject matter expertise and understanding the cognitive, social-emotional, and ethical development of students. It also might address training/experience in

teaching strategies, facilitation skills, learning assessment, understanding how to recognize and use learning research theory information, and reporting information and data on student progress.

N6. Education delivery refers to instructional approaches — modes of teaching and organizing activities and experiences so that learning takes place.

N7. For educational programs and offerings, measurements and observations [6.1b(2)] should include key learning and developmental dimensions, e.g., enabling early intervention when learning is not progressing adequately. Observations, measures, and/or indicators also should reveal whether or not the programs or offerings require corrective action. The role of 6.1b(4) is ongoing improvement to achieve better performance. Periodically, programs and offerings might need to be changed or redesigned.

N8. Results of improvements in the design and delivery processes for your educational programs and offerings should be reported in Item 7.5. Your results of improvements in student performance should be reported in Item 7.1.

6.2 Education Support Processes (15 pts.)

Approach – Deployment

Describe how your organization manages its key education support processes.

Within your response, include answers to the following questions:

a. Education Support Processes
   (1) What are your key education support processes?

   (2) How do you determine key support process requirements, incorporating input from students, faculty, staff, and other stakeholders, as appropriate? What are the key operational requirements (such as timeliness, confidentiality, accuracy, due process, and safety) for the processes?

   (3) How do you design these processes to meet all the key requirements?

   (4) How does your day-to-day operation of key support processes ensure meeting key student, faculty, and staff performance requirements? How do you determine and use in-process measures and/or student, faculty, and staff feedback in your support processes?

   (5) How do you improve your support processes to achieve better performance and to keep them current with educational service needs and directions, as appropriate? How are improvements shared with other organizational units and processes, as appropriate?

Notes:

N1. Your educational support processes are those that support your organization's overall educational services. These might include counseling, advising, placement, tutoring, and libraries and information technology. They also might include recruitment, enrollment, registration, accounting, plant and facilities management, secretarial and other

administrative services, security, marketing, information services, public relations, food services, health services, transportation, housing, central receiving, bookstores, and purchasing. Focus should be on your most important processes not addressed in Items 6.1 and 6.3.

N2. Your results of improvements in key educational support processes and key support process performance results should be reported in Item 7.5.

N3. You might include how your organization manages its purchases of key items such as textbooks, software, or information systems to fulfill your educational and operational requirements. If your organization partners with key suppliers, include a brief description of this process.

6.3 Partnering Processes (15 pts.)   Approach - Deployment

Describe how your organization manages its key partnering processes associated with student transitions into and out of your organization.

Within your response, include answers to the following questions:

a. Partnering Processes

(1) What schools or types of schools did your students attend prior to attending your school? How do you develop and maintain relationships with these schools and other organizations, as appropriate, for effective communication of requirements and students' preparation for attending your school?

(2) What schools or types of schools and/or places of work do your students enter upon completion of studies at your school? How do you develop and maintain relationships with these schools and/or places of work for understanding requirements and ensuring successful transitions?

(3) How do you improve your partnering processes with other schools and places of work, and other organizations, as appropriate, to ensure effective transitions for students entering and leaving your school?

Notes:

N1. Partnering refers to cooperative relationships with other schools, places of work, and parents, as appropriate, for purposes of ensuring effective transitions for students.

N2. Other organizations [6.3a(1,3)] might include social service organizations that are involved in helping students make effective transitions.

N3. Schools [6.3a(1-3)] include schools for which "feeder" relationships exist, into or out of your school, whether this relationship is formal or informal.

N4. If your organization is a corporate or like university or school, "feeders" and/or places of work might be units within your corporation.

N5. Understanding of requirements might result in changes in academic and/or support services. Such changes should be addressed in Items 6.1 and 6.2.

N6. Your results of improvements in key partnering processes should be reported in Item 7.5.

7 Organizational Performance Results (450 pts.)

The *Organizational Performance Results* Category examines student performance, student and stakeholder focused results, budgetary and financial performance, faculty and staff results, and organizational effectiveness. Also examined are performance levels relative to comparable schools and/or appropriately selected organizations.

7.1 Student Performance Results (200 pts.)   **Results**

Summarize your organization's student performance results. Segment your results by student groups, as appropriate. Include appropriate data relative to comparable organizations and student populations.

Provide data and information to answer the following question:

a. Student Performance Results
  What are your current levels and trends in key measures and/or indicators of student performance?

Notes:

N1. Results reported might be based upon a variety of assessment methods that reflect the organization's overall mission and primary improvement objectives, and that together represent holistic appraisals of students. For some recently implemented measures and/or assessment methods, data might not yet be sufficient to demonstrate meaningful trends. Such data should be reported nevertheless, as they provide useful information regarding the organization's current performance levels.

N2. Results may include data indicating performance of recent graduates.

N3. Demonstrations of improvement in student performance should be normalized to comparable student populations. Methods might involve longitudinal studies and cohort studies. Results covering three years or more are preferred.

N4. Comparisons should include a brief description of how the appropriateness of each comparison is ensured. Comparable schools might include similar types/sizes, both domestic and international, as well as schools serving similar populations of students.

For a definition of the following **key term**, see page 31: results.

For additional description of this Item, see pages 42-43.

7.2 Student and Stakeholder Focused Results (70 pts.)

Summarize your organization's student and stakeholder focused results, including student and stakeholder satisfaction and dissatisfaction. Segment your results by student and stakeholder groups, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

a. Student and Stakeholder Focused Results

    (1) What are your current levels and trends in key measures and/or indicators of satisfaction and dissatisfaction of current and past students and key stakeholders?

    (2) What are your current levels and trends in key measures and/or indicators of student/stakeholder loyalty, positive referral, perceived value, and relationship building, as appropriate?

Notes:

N1. Student and stakeholder satisfaction and dissatisfaction results reported in this Item should relate to determination methods and data described in Item 3.2.

N2. Results data might include student/stakeholder feedback and their overall assessment of education/operations.

N3. For examples of student/stakeholder dissatisfaction indicators, see Notes to Item 3.2.

N4. Current levels and trends in key measures and/or indicators of student satisfaction relative to comparable schools might address gains and losses of your students to other schools or to alternative means of education, such as home schooling or corporate educational programs. Results might also include objective information and/or data from independent organizations, including key stakeholders. Such objective information might include survey results, competitive awards, recognition, and ratings. The information and/or data should reflect comparative satisfaction (and dissatisfaction). Information on comparative performance of your students should be included in Item 7.1.

N5. The combination of direct student performance measures/indicators in Item 7.1 with your student and stakeholder satisfaction measures/indicators in Item 7.2 provides an opportunity to determine cause and effect relationships between student performance and evidence of student and stakeholder satisfaction/dissatisfaction.

N6. Comparisons should include a brief description of how the appropriateness of each comparison is ensured. Comparable organizations might include similar types/sizes, as well as schools serving similar populations of students.

7.3 Budgetary and Financial Results (40 pts.)

Summarize your organization's key budgetary and financial performance results. Include appropriate comparative data.

Provide data and information to answer the following question:

a. Budgetary and Financial Results

    What are your current levels and trends in key measures and/or indicators of budgetary and financial performance, including measures of value and cost containment, as appropriate?

Note:

Measures such as instructional and general administration expenditures per student, income/expenses/reserves/endowments, tax rate, tuition and fee levels, cost per academic credit, annual grants/awards, program expenditures as a percent of budget, annual budget increase or decrease, resources redirected to education from other areas, scholarship growth, percent budget on research, or budget for public service are appropriate for responding to Item 7.3.

7.4 Faculty and Staff Results (70 pts.)

Summarize your organization's faculty- and staff-related results, including faculty and staff well-being, satisfaction, development, and work system performance. Segment your results by types and categories of faculty and staff, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

a. Faculty and Staff Results

(1) What are your current levels and trends in key measures and/or indicators of faculty and staff well-being, satisfaction and dissatisfaction, and development?

(2) What are your current levels and trends in key measures and/or indicators of faculty and staff work system performance and effectiveness?

Notes:

N1. Results reported in this Item should relate to activities described in Category 5. Your results should be responsive to key process needs described in Category 6, and your organization's action plans and related faculty and staff resource plans described in Item 2.2.

N2. For appropriate measures of faculty and staff well-being and satisfaction, see Notes to Item 5.3. Appropriate measures and/or indicators of faculty

and staff development might include innovation and suggestion rates, courses or educational programs completed, learning, on-the-job performance improvements, collaboration/teamwork, and cross-training.

N3. Appropriate measures and/or indicators of work system performance and effectiveness might include use of teams; knowledge and skill sharing across work functions, units, and locations; and flexibility.

For additional description of this Item, see pages 43-44.

7.5 Organizational Effectiveness Results (70 pts.)

Summarize your organization's key performance results that contribute to enhanced learning and/or the achievement of organizational effectiveness. Include appropriate comparative data.

Provide data and information to answer the following questions:

a. Organizational Effectiveness Results

(1) What are your current levels and trends in key measures and/or indicators of key design, delivery, and support process performance that contribute to enhanced learning and/or operational effectiveness, including school capacity to improve student performance, student development, educational climate, and indicators of responsiveness?

(2) What are your results for key measures and/or indicators of safety, regulatory/legal/accreditation requirements, and support of key communities? What are your results for key measures and/or indicators of accomplishment of organizational strategy?

Notes:

N1. Results reported in Item 7.5 should address your key organizational requirements and progress toward accomplishment of your key organizational performance goals as presented in the Organization Overview and in Items 1.1, 2.2, 6.1, 6.2, and 6.3. Include results not reported in Items 7.1, 7.2, 7.3, and 7.4.

N2. Results reported in Item 7.5 should provide key information for analysis (Item 4.2) and review (Item

1.1) of your organizational performance and should provide the operational basis for improved student performance results (Item 7.1), student and stakeholder focused results (Item 7.2), and budgetary and financial results (Item 7.3).

N3. Safety and regulatory/legal/accreditation results reported in Item 7.5 should address requirements described in Item 1.2.

For additional description of this Item, see page 44.

Glossary of Key Terms

This Glossary of Key Terms defines and briefly describes terms used throughout the Education Criteria booklet that are important to performance management.

Action Plans

Action plans refer to principal organizational-level drivers, derived from short- and long-term strategic planning. In simplest terms, action plans are set to accomplish those things your organization should do well for your strategy to succeed. Action plan development represents the critical stage in planning when strategies and goals are made specific so that effective organization-wide understanding and deployment are possible. Deployment of action plans requires analysis of overall resource needs and creation of aligned measures for all work units. Deployment might also require specialized training for or recruitment of faculty and staff.

An example of a strategic objective for an education organization might be to improve student performance on a normalized test that is given annually. Action plans could entail determining which subjects have lowest scores, understanding skill deficiencies in those subjects, and developing curricula that enable students to master those skills.

Alignment

Alignment refers to consistency of plans, processes, information, resource decisions, actions, results, analysis, and learning to support key organization-wide goals. Effective alignment requires common understanding of purposes and goals and use of complementary measures and information for planning, tracking, analysis, and improvement at three levels: the organizational level; the key process level; and the work unit level.

Analysis

Analysis refers to assessments performed by an organization or its work units to provide a basis for effective decisions. Overall organizational analysis guides process management toward achieving key organizational results and toward attaining strategic objectives.

Despite their importance, individual facts and data do not usually provide an effective basis for actions or setting priorities. Actions depend upon understanding cause/effect relationships. Understanding such relationships comes from analysis of facts and data.

Approach

Approach refers to how an organization addresses the Baldrige Criteria Item requirements — the methods and processes used by the organization. Approaches are evaluated on the basis of the appropriateness of the approach to the Item requirements; effectiveness of use of the approach;

and alignment with organizational needs. For further description, see the Scoring System on page 45.

Deployment

Deployment refers to the extent to which an organization's approach is applied to the requirements of a Baldrige Criteria Item. Deployment is evaluated on the basis of the breadth and depth of application of the approach throughout the organization. For further description, see the Scoring System on page 45.

Empowerment

Empowerment refers to faculty and staff having the authority and responsibility to make decisions and take appropriate actions. Empowerment results in decisions being made closest to the "front line," where work-related knowledge and understanding reside.

Empowerment is aimed at enabling faculty and staff to respond to student educational needs, to improve processes, and to better the organization's performance results. Empowered faculty and staff require information to make appropriate decisions; thus, an organizational requirement is to provide that information in a timely and useful way.

Innovation

Innovation refers to making meaningful change to improve services and/or processes and create new value for students and stakeholders. Innovation involves the adoption of an idea, process, technology, or product that is considered new or new to its proposed application.

Successful organizational innovation is a multi-step process that involves development and knowledge sharing, a decision to implement, implementation, evaluation, and learning. Although innovation is often associated with technological innovation, it is applicable to all key organizational processes that would benefit from breakthrough improvement and/or change.

Measures and Indicators

Measures and indicators refer to numerical information that quantifies input, output, and performance dimensions of processes, products, services, and the overall organization (outcomes). Measures and indicators might be simple (derived from one measurement) or composite.

The Criteria do not make a distinction between measures and indicators. However, some users of these terms prefer the term indicator: (1) when the measurement relates to performance, but is not a direct measure of such performance (e.g., the number of complaints is an indicator of dissatisfaction, but not a direct measure of it); and (2) when

the measurement is a predictor ("leading indicator") of some more significant performance (e.g., a gain in student satisfaction might be a leading indicator of student retention).

Performance

Performance refers to output results obtained from processes and services that permit evaluation and comparison relative to goals, standards, past results, and other organizations.

The Criteria booklet addresses two types of performance: (1) operational; and (2) student and stakeholder-related.

Operational and faculty/staff performance refers to performance relative to effectiveness and efficiency measures and indicators. Examples include cycle time, productivity, and regulatory compliance. Operational performance might be measured at the work unit level, key process level, and organization level.

Student- and stakeholder-related performance refers to performance relative to measures and indicators of student and stakeholder perceptions, reactions, and behaviors. Examples include student retention, complaints, and survey results. Student- and stakeholder-related performance generally relates to the organization as a whole.

Process

Process refers to linked activities with the purpose of producing a product or service for students and/or stakeholders within or outside the organization. Generally, processes involve combinations of people, machines, tools, techniques, and materials in a systematic series of steps or actions. In some situations, processes might require adherence to a specific sequence of steps, with documentation (sometimes formal) of procedures and requirements, including well-defined measurement and control steps.

In many service situations, particularly when those served are directly involved in the service, process is used in a more general way — to spell out what must be done, possibly including a preferred or expected sequence. If a sequence is critical, the service needs to include information to help those served understand and follow the sequence. Service processes involving those served also require guidance to the providers of these services on handling contingencies related to possible actions or behaviors of those served.

In knowledge work such as teaching, strategic planning, research, development, and analysis, process does not necessarily imply formal sequences of steps. Rather, process implies general understandings regarding competent performance such as timing, options to be included, evaluation, and reporting. Sequences might arise as part of these understandings.

Results

Results refer to outcomes achieved by an organization in addressing the purposes of a Baldrige Criteria Item. Results are evaluated on the basis of current performance; performance relative to appropriate comparisons; rate, breadth, and importance of performance improvements; and relationship of results measures to key organizational performance requirements. For further description, see the Scoring System on page 45.

Strategic Objectives

Strategic objectives refer to an organization's major change opportunities and/or the fundamental challenges the organization faces. Strategic objectives are generally externally focused, relating to significant students/stakeholders, market, product/service, or technological opportunities and challenges. Broadly stated, they are what an organization must change or improve to remain or become competitive. Strategic objectives set an organization's longer-term directions and guide resource allocations and redistributions.

See the definition of *action plans* on page 30 for the relationship between strategic objectives and action plans and for an example of each.

Systematic

Systematic refers to approaches that are repeatable and use data and information, so that improvement and learning are possible. In other words, approaches are systematic if they build in the opportunity for evaluation and learning, and thereby permit a gain in maturity. As organizational approaches mature, they become more systematic and reflect cycles of evaluation and learning. For use of the term, see the Scoring Guidelines on page 46.

Value

Value refers to the degree of worth relative to cost and relative to possible alternatives of a product, service, process, asset, or function.

Organizations frequently use value considerations to determine the benefits of various options relative to their costs, such as the value of various educational offerings and service combinations to students, faculty, staff, or other stakeholders. Organizations seek to deliver value to all their stakeholders. This frequently requires balancing value for students and other stakeholders, such as businesses, faculty, staff, and the community.

Leadership (Category 1)

Leadership addresses how your senior leaders guide your organization in setting directions and creating a learning environment. Primary attention is given to how your senior leaders set and deploy clear values and high performance expectations that address the needs of all students and stakeholders. The Category also includes your organization's responsibilities to the public and how your organization practices good citizenship.

1.1 Organizational Leadership

Purpose

This Item examines the key aspects of your organization's leadership and the roles of your senior leaders, with the aim of creating and sustaining an environment conducive to learning, student development, and achievement.

Requirements

You are asked how your organization's senior leaders communicate and deploy organizational values and performance expectations and set directions. You are also asked how your leaders create an environment for empowerment, innovation, safety, and equity. Overall, the requirements cover the key factors in creating an environment that supports student, faculty, and staff learning.

You are also asked how your senior leaders conduct performance reviews. This includes both student and organizational performance. These reviews ensure ongoing assessment of the main factors that contribute to effective education and the translation of assessment findings into an improvement agenda.

Comments

- Key stakeholders might include families, employers, and other schools. In many cases, leadership would include not only those who have day-to-day responsibility to manage the organization but also the oversight entities such as school boards and trustees.

- Establishing and reinforcing an educational environment might take into account key developmental needs of students such as functioning in groups, citizenship, and character development.

- The review role of leadership is crucial, not only because reviews help provide a focus on student learning, but also because reviews are an effective means for early detection of problems and timely redirection of resources, which usually requires leadership support and involvement. A major aim is to create organizations that are flexible and responsive — changing easily to adapt to new needs and opportunities. Through their roles in developing strategy and reviewing overall performance, senior leaders develop leadership and create an organization capable of adapting to changing opportunities and requirements. An

important part of the senior leaders' organizational review is the translation of review findings into an action agenda — sufficiently specific so that deployment throughout the organization and to key students/stakeholders and partners is possible. The action agenda could include opportunities for innovation.

1.2 Public Responsibility and Citizenship

Purpose

This Item examines how your organization fulfills its public responsibilities and encourages, supports, and practices good citizenship, working effectively with key communities to extend your organization's learning objectives.

Requirements

You are asked how your organization addresses current and future safety, regulatory, legal, ethical, and accreditation requirements associated with your operation as an education organization in a proactive manner. You are also asked how your senior leaders, faculty, and staff select key communities for support and involvement.

Comments

- Overall, this Item relates to how the organization addresses three basic aspects of public responsibility: (1) making legal and regulatory requirements and risk factors an integral part of performance management and improvement; (2) being sensitive to issues of public concern, whether or not these issues are currently embodied in law; and (3) ensuring ethical behavior in all student and stakeholder interactions.

- Fulfilling societal responsibilities means not only meeting all local, state, and federal laws and regulatory requirements, but also treating these and related requirements as opportunities for improvement "beyond mere compliance."

- Public responsibility may address a variety of issues and/or concerns, such as taxpayer costs, safety in the school, storage of hazardous materials, and recycling of materials, as appropriate.

- Opportunities for community involvement and leadership include efforts by the organization, senior leaders, and faculty/staff to strengthen community services, the environment, athletic associations, and professional associations.

- Community involvement might also involve students, giving them the opportunity to develop social and citizenship values and skills.

Strategic Planning (Category 2)

Strategic Planning addresses all aspects of organization-level planning and the deployment of plans. This includes primarily the development and deployment of key
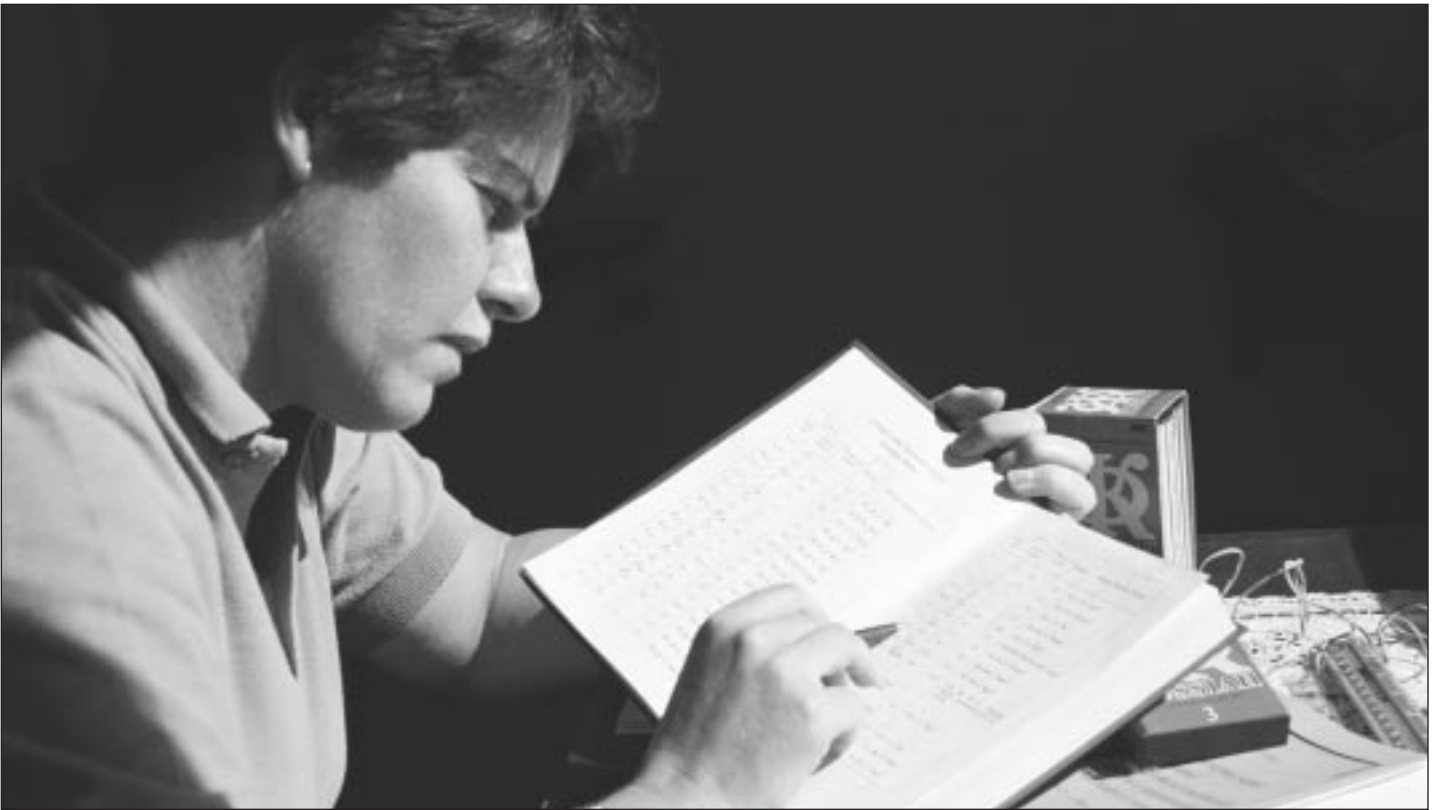
educational and other mission-related requirements, taking into account key student and stakeholders needs.

The Criteria emphasize that improvement and learning need to be embedded in work processes. The special roles of the Strategic Planning Category are: (1) to provide a results-oriented focus, accommodating to change; and (2) to align daily work with organizational directions.

The Strategic Planning Category examines how your organization:

- understands key student and stakeholder and societal requirements as input to setting directions. This helps to ensure that ongoing process improvements are aligned with your organization's strategic directions.

- optimizes the use of resources, ensures the availability of faculty and staff, and ensures bridging between short- and longer-term requirements.

- ensures that deployment will be effective — that there are mechanisms to communicate requirements and achieve overall alignment.

The requirements for the Strategic Planning Category are intended to encourage strategic thinking and acting, and to bring about key alignments in support of goals. *These requirements do not imply formalized plans, planning systems, departments, or specific planning cycles*. Also, the Category does not imply that all your improvements could or should be planned in advance. Rather, the requirements in the Category imply that the organization maintains a future-oriented basis for decisions and priorities.

2.1 Strategy Development

Purpose

This Item examines how your organization sets directions and develops organizational objectives and strategies, with the aim of developing key educational and other associated performance requirements.

Requirements

You are asked to outline your organization's strategic planning process, including identifying the key participants. You are asked how you consider six key factors that affect your organization's future. These factors cover external and internal influences on your organization. You are also asked to address each factor and outline how relevant data and information are gathered and analyzed.

Finally, you are asked to summarize your key strategic objectives and your timetable for accomplishing them.

Comments

- The focus of the Item is on how the organization develops its view of the future, sets directions, and translates these directions into a clear basis for communicating, deploying, and aligning critical requirements. Alignment refers to effective integration of faculty development, curriculum, instruction, and assessment.

- Planning requires a thorough and realistic context for the development of educational services and overall management of the organization. This includes student and stakeholder needs and expectations and external factors

affecting the school. This also includes changing requirements brought about by other organizations, employers, educational mandates, instructional technology, changing demographics, and changing student career interests. Internal factors, such as faculty and staff capabilities and needs, are also included. Especially important is the need to assess student learning relative to key outcomes the organization seeks to achieve.

2.2 Strategy Deployment

Purpose

This Item examines how your organization translates your strategic objectives into action plans to accomplish the objectives and to enable assessment of progress relative to your action plans. The aim is to ensure effective deployment of your key educational objectives.

Requirements

You are asked how you develop action plans that address your organization's key strategic objectives. You are asked to summarize your key short- and longer-term action plans. Particular attention is given to key changes, if any, in services/programs, students/stakeholders, and resource requirements.

You are also asked to specify key measures and/or indicators used in tracking progress relative to action plans and how you communicate and align strategic objectives, action plans, and performance.

Finally, you are asked to provide a two-to-five year projection of key performance measures and/or indicators, including key performance targets and/or goals. This projected performance is the basis for comparing past performance and performance relative to other organizations and benchmarks, as appropriate.

Comments

■ Information on how action plans are developed and deployed includes spelling out key performance requirements and measures, such as faculty/staff development plans and needs; use of learning technologies, key measures and indicators; and how resources are deployed, aligned, and tracked. Of central importance is how you achieve alignment and consistency — for example, via key learning strategies and key measurements. Alignment and consistency are intended also to provide a basis for setting and communicating priorities for ongoing improvement activities. Performance measures are also critical to performance tracking. Critical action plan requirements include faculty/staff resource plans to support the overall strategy.

■ Examples of possible faculty/staff resource plan elements are:

   • education and training initiatives, including those that involve outcomes assessment practices, student learn-

ing styles, and developmental assignments to prepare future leaders;
   • creation of individual development and/or learning plans;
   • redesign of staff work organizations and/or jobs to increase staff responsibility and decision making;
   • initiatives to foster knowledge sharing and cross-functional interactions throughout the organization;
   • creation of opportunities for faculty and staff to learn and use skills that go beyond current job assignments through redesign of processes or organizations;
   • formation of partnerships with the business community to support faculty/staff development;
   • introduction of distance learning or other technology-based learning approaches; and
   • introduction of performance improvement initiatives.

■ Projections and comparisons in this Item are intended to encourage your organization to improve its ability to understand and track dynamic performance factors. Through this tracking process, your organization should be better prepared to take into account its rate of improvement and change relative to comparable organizations and relative to your own targets or stretch goals.

■ In addition to improvement relative to past performance and to comparable organizations, projected performance also might include changes resulting from innovations in education delivery, addition or termination of programs, service/program innovations, or other strategic thrusts.

Student and Stakeholder Focus (Category 3)

Student and Stakeholder Focus addresses how your organization seeks to understand the needs of current and future students and of its stakeholders on an ongoing basis. The Category stresses relationships as an important part of an overall listening, learning, and performance excellence strategy. Although many of the needs of stakeholders must be translated into educational services for students, the stakeholders themselves have needs that organizations must also accommodate. A key challenge frequently may be to balance differing needs and expectations of students and stakeholders and among stakeholders themselves.

3.1 Knowledge of Student Needs and Expectations

Purpose

This Item examines your organization's key processes for gaining knowledge about your current and future students, with the aim of ensuring relevance and effectiveness of educational services, based upon understanding student needs and expectations and ways of engaging students in active learning.

Requirements

You are asked how you maintain awareness of key general and special needs of current students, recognizing student groups (segments) and the factors that bear upon active learning. You are also asked how you determine and anticipate changing needs and expectations of future students, taking into account the key factors that could affect these needs and expectations, to support longer-term educational planning.

Finally, you are asked how you improve your overall methods for anticipating student needs and expectations so that you can keep current with changing educational needs and directions.

Comments

- Maintaining awareness of student needs and expectations is critical to improve education services and to support related planning. Student needs, as addressed in this Item, should take into account information not only from students but also from families, employers, and other education organizations, as appropriate. Student needs should be interpreted in a holistic sense to include knowledge, application of knowledge, problem-solving, learning skills, interpersonal skills, character development, critical thinking skills, conflict resolution, and citizenship.

- A variety of listening and learning strategies are commonly used. Selection depends upon the type and size of the organization and other factors. Some examples are:

  - building relationships with students, families, businesses, and other stakeholders;
  - tracking demographic, societal, economic, technological, competitive, and other factors that may bear upon student and stakeholder requirements, expectations, preferences, or alternatives;
  - seeking to understand in detail students' and stakeholders' expectations and needs and how they are likely to change;
  - holding focus groups with students/stakeholders;
  - using critical incidents, such as complaints, to understand key education and support service attributes from the point of view of students/stakeholders and faculty and staff;
  - interviewing students/stakeholders to determine the reasons students drop out or choose to enroll elsewhere; and
  - analyzing major factors affecting students/stakeholders relative to organizations providing similar education services.

- Understanding student needs and expectations covers all aspects of education content and delivery, as well as the learning environment, including safety. An important part of this information comes from observations of student utilization of offerings, facilities, and services to

determine their influence on active learning. This requires organizations to use current knowledge about student development and learning, including academic, social, and ethical development.

- The determination of future needs and expectations of students should take into account the following: demographic data and trends; changing requirements of graduates in the workplace or other schools; changing local, state, national, and global requirements; and educational alternatives for prospective students. How the organization analyzes the overall information to develop actionable data for planning is also critical to success.

3.2 Student and Stakeholder Satisfaction and Relationships

Purpose

This Item examines your organization's processes for determining student and stakeholder satisfaction and building relationships, with the aim of enhancing the organization's ability to deliver its services and to prepare for future services.

Requirements

You are asked how you build relationships with students and stakeholders to support your ability to deliver services and foster continuing interactions and/or positive referral. You are asked how you maintain effective stakeholder relationships, including measures and/or indicators used. You are also asked how your organization manages complaints and aggregates, analyzes, and learns from complaint information.

Finally, you are asked about your methods for determining student and stakeholder satisfaction, and satisfaction relative to other organizations, benchmarks, and competitors, as appropriate.

Comments

- Relationships provide a potentially important means for education organizations to understand and manage student/stakeholder expectations, to develop new education services, and to maintain a learning environment. Also, faculty and staff may provide vital information to build partnerships and other longer-term relationships with students and stakeholders.

- Satisfaction relative to comparable organizations is of critical importance to managing in a competitive environment. It can provide much useful information on the factors that drive student choices.

- Four key aspects of relationship building are addressed: (1) regular and special access needs; (2) proactive follow-ups with stakeholders; (3) key measures and/or indicators used to monitor the effectiveness of key relationships; and (4) how the organization develops partnerships with key stakeholders to pursue common purposes.

- The principal issue in complaint management is prompt and effective resolution of complaints, including recovery of student/stakeholder confidence. In addition, it is important that the organization learn from complaints and ensure that faculty and staff receive information needed to eliminate the causes of complaints. Effective elimination of the causes of complaints involves aggregation of complaint information from all sources for evaluation and use in overall organizational improvement.

- The complaint management process might include analysis and priority setting for improvement projects based upon impact on student learning.

- Increasingly, student success depends upon maintaining close relationships with both students and stakeholders. Approaches to relationship building vary greatly, depending on types of students/stakeholders. Avenues to and bases for relationships may change quickly. Accordingly, it is important that the organization evaluate and improve its student/stakeholder relationship building and ensure that approaches are kept current with changing education service needs and directions.

- Three types of requirements are important in determining student and stakeholder satisfaction:

  • how the organization gathers information on student and stakeholder satisfaction, including any important differences in approaches for different student/stakeholder groups. A critical part of this process is how the organization's measurements capture key information that bears upon students' motivation and active learning and how objectivity and reliability of the measurements are ensured. Key information might include climate factors such as quality of relationships, sense of inclusion, and safety;

  • how the organization follows up with students and key stakeholders regarding services and recent interactions to determine satisfaction and to resolve problems quickly; and

  • how satisfaction relative to organizations delivering similar education services is determined. Such informa-

tion might be derived from available published data or independent studies. The purpose of this comparison is to develop information that can be used for improving the delivery of education and support services and creating an overall climate conducive to learning for all students.

Information and Analysis (Category 4)

Information and Analysis is the main point within the Criteria for all key information to effectively measure performance and manage your organization and to drive improvement. The Category addresses all basic performance-related information and comparative information as well as how such information is analyzed and used to optimize school performance.

4.1 Measurement of Organizational Performance

Purpose

This Item examines your organization's selection, management, and use of data and information for performance measurement, in support of organizational planning and performance improvement.

Requirements

You are asked how you establish the major components of an effective performance measurement system for your organization. You are asked how you select and use measures for tracking daily operations and how you select and integrate measures for monitoring overall organizational performance. You also are asked about how you ensure data and information reliability and confidentiality since reliability and confidentiality are critical to an effective performance measurement system.

You are asked how you select and use comparative information to help drive improvement.

Finally, you are asked how you keep your organization's performance measurement system current with changing educational service needs and directions.

Comments

- Alignment and integration of measures are viewed in terms of extent and effectiveness of use to meet organizational needs. Alignment and integration include how measures are made consistent and available to all users throughout your organization, how they support effective day-to-day management and evaluation of key processes, how they are integrated to yield organization-wide measures, and how performance measurement requirements are deployed by the senior leaders to track work group and/or functional-level performance on key measures targeted for organization-wide improvement. Data and information reliability and confidentiality are important components for monitoring educational and operational services and for data integration to assess overall performance. Performance information and data could be

especially advantageous in grade-to-grade, school-to-school, and school-to-work transitions, and partnerships with businesses, social services, and the community.

■ Comparative data/information, including competitive comparisons and benchmarking information, are selected and used to help drive performance improvements. Three factors of importance are: (1) how needs and priorities for comparative information and data are determined and how such determinations take into account key organization processes, action plans, and opportunities for improvement; (2) the organization's criteria and methods for seeking sources of comparative information and data, including its sensitivity to looking outside the academic community; and (3) how comparative information and data are deployed and used to drive improvement.

■ The major premises underlying the use of comparative information are: (1) organizations need to know "where they stand" relative to comparable organizations from within and outside the academic community; (2) comparative and benchmarking information often provide impetus for major change and improvement that might signal changes taking place in education practices; and (3) preparation for comparing performance information frequently leads to a better understanding of your processes and their performance.

4.2 Analysis of Organizational Performance

Purpose

This Item examines your organization's analysis of its performance, as a basis for regularly assessing your overall organizational health to support decision making and improvement.

Requirements

You are asked how you analyze data and information from all parts of your organization to support your senior leaders' assessment of overall performance, to use the output of analysis to improve current educational services, and to perform organizational planning.

Comments

■ Analysis guides an organization's process management toward key educational progress and support process results and toward attaining strategic objectives. The Item links analysis and performance review to help ensure that analysis is kept relevant to decision making. Despite their importance, individual facts and data do not usually provide an effective basis for actions or priorities. Action depends upon understanding cause/effect connections among processes and between processes and results. Programmatic and operational changes may have many resource implications; results may have many cost and budgetary implications as well.

■ Information and data from all parts of the organization need to be analyzed to assess overall organizational well-being and to support day-to-day education and operation activities. Five key aspects of performance are: (1) student and student group achievement; (2) organization programs; (3) student, student group, and organization programs relative to comparable organizations; (4) organization operational performance; and (5) organization operational performance relative to comparable organizations.

■ Analyses that your organization performs to gain understanding of performance vary widely. Selection depends upon many factors, including organization type, size, and relationship to other organizations providing similar services. Examples include:

- cost/budgetary implications of student/stakeholder-related problems and problem resolution effectiveness;
- benefits and costs associated with education and training for faculty and staff;
- benefits and costs associated with improved organizational knowledge management and sharing;
- relationships between student and overall organizational performance and behavioral improvement indicators;
- how the ability to identify and meet faculty/staff requirements correlates with faculty/staff retention, motivation, and well-being;
- allocation of resources among alternative improvement projects based on cost/budgetary implications and improvement potential;
- trends in key indicators of student motivation such as absenteeism, dropout rates, and use of educational facilities;
- test performance trends for students, segmented by student groups, as appropriate;
- relationships between in-school outcomes/performance and longer-range outcomes — in other schools or in the workplace, for example;
- activity-level cost trends in organizational operations;
- cost/financial implications of new education programs/services and changing educational and operational needs;
- student utilization of learning technologies and/or facilities versus assessment performance;
- relationships between student background variables and outcomes;
- relationships between student allocation of time to activities and projects, and academic performance;
- percentage of students attaining industry-based and/or profession-based skill certification; and
- percentage of students completing advanced mathematics and science courses by graduation.

Faculty and Staff Focus (Category 5)

Faculty and Staff Focus addresses all key human resource practices — those directed toward creating an environment with a strong focus on students and learning, and toward developing faculty/staff to enable them and your organization to adapt to change. It addresses these in an integrated way, aligned with your organization's mission and strategy.

To ensure the basic alignment of human resource management with overall mission and strategy, the Criteria also include human resource planning as part of organizational planning in the Strategy Planning Category.

5.1 Work Systems

Purpose

This Item examines your organization's systems for work and job design, compensation, faculty and staff performance management, motivation, recognition, communication, and hiring, with the aim of enabling and encouraging faculty and staff to contribute effectively to achieving educational objectives, organizational learning, and high performance.

Requirements

You are asked how you design work and jobs to allow faculty and staff to exercise discretion and decision making.

You are asked how you encourage and motivate faculty and staff, how you manage performance, how you compensate, recognize, and reward, and how you ensure effective communication and collaboration.

Finally, you are asked how you identify the characteristics and skills needed by potential faculty and staff, taking into account performance requirements and fair work force practices.

Comments

- Because of differing responsibilities, work organizations, compensation, and recognition systems might differ greatly between faculty and staff units or among faculty units. This is important not only to current and near-term performance objectives, but also to individual and organizational learning — enabling adaptation to change.

- The basic aim of work and job design should be to enable faculty and staff to focus on student achievement and exercise discretion and decision making, leading to flexibility, innovation, knowledge and skill sharing, and rapid response to changing needs and requirements of students and stakeholders. Examples of approaches to create flexibility in work and job design might include use of teams, in some cases involving paraprofessionals and adjunct faculty; cross-training; job rotation; and changes in classroom design. Approaches also might entail using technology and changing the flow of information to support local decision making and to ensure a focus on students and learning.

- Effective job design and flexible work organizations are necessary but may not be sufficient to ensure high performance. High performance work systems require information systems, education, and appropriate training to ensure that information flow supports job and work designs. Also important is effective communication across functions and work units to ensure a focus on student and stakeholder needs and requirements and to ensure an environment of encouragement, trust, and mutual commitment. Some high performance organizations are addressing faculty and staff development needs via career and learning objectives, developed by administrators and supervisors working with faculty and staff.

- Organizations need to address the important alignment of incentives with the achievement of key organizational objectives. The basic thrust of this is the consistency between compensation and recognition and work structures and processes.

- Faculty and staff compensation and recognition need to reinforce student achievement, high performance, job design, and learning. To be effective, compensation and recognition might need to be based, wholly or in part, upon demonstrated skills and/or evaluation by peers in teams.

- Collaboration and teamwork among faculty might include early detection of changes in student behaviors that signal difficulties in the learning environment or in the development of the students.

- An increasingly important need of education organizations is the ability to profile, recruit, and hire excellent faculty and staff. This requires that work force diversity be reflective of the organization's community.

5.2 Faculty and Staff Education, Training, and Development

Purpose

This Item examines your organization's faculty and staff education and training, with the aim of achieving your overall education performance and personnel objectives.

Requirements

You are asked how faculty and staff education and training needs are determined and how education and training are designed, delivered, reinforced, and evaluated, balancing short- and longer-term organizational and faculty and staff needs.

You are asked how faculty and staff and supervisors participate in the needs determination, design, and evaluation of education and training to ensure appropriate input and support. This should entail appropriate performance measures and standards to ensure performance excellence in education and training.

Comments

- Education and training address the knowledge and skills faculty and staff need to meet their overall work and personal and professional objectives and the organization's need for leadership development of faculty and staff. Education and training needs might vary greatly depending upon many factors, especially specific faculty and staff responsibilities. Examples include assessment practices, learning styles, problem solving, teamwork, leadership and knowledge sharing skills, communications, interpreting and using data, use of new technology, process analysis, evaluating and understanding student behavior and character development, and other training that affects faculty and staff effectiveness and safety.

- This Item emphasizes the importance of the involvement of faculty and staff and their supervisors in the design of training, including clear identification of specific needs. This involves job analysis — understanding the types and levels of the skills required and the timeliness of training. Determining specific education and training needs might include use of organizational assessment or faculty and staff self-assessment to determine and/or compare skill levels for progression within the organization or elsewhere. Education and training also include appropriate orientation of new faculty and staff.

- Education and training delivery might occur inside or outside the organization and involve on-the-job, classroom, computer-based, distance learning, or other types of delivery. This includes the use of developmental assignments such as sabbatical leave, internships, or job shadowing within or outside the organization to enhance faculty and staff career opportunities and employability.

- Effective performance management also includes the evaluation of education and training. Such evaluation might take into account administrators' evaluation, faculty and staff self-evaluation, and peer evaluation of value received through education and training relative to needs identified in design. Evaluation might also address factors such as the effectiveness of education and

training delivery, impact on work unit and organizational performance, and costs of delivery alternatives.

5.3 Faculty and Staff Well-Being and Satisfaction

Purpose

This Item examines your organization's work environment, your faculty and staff support climate, and how you determine job satisfaction, with the aim of fostering the well-being, satisfaction, and motivation of faculty and staff, recognizing their diverse needs.

Requirements

You are asked how you ensure a safe and healthful workplace, taking into account differing work environments and requirements, including ergonomic factors. Special emphasis is placed on how faculty and staff contribute to identifying important factors and to improving workplace safety. You are also asked to identify appropriate measures and targets used to assess progress.

You are asked how you enhance faculty and staff well-being, satisfaction, and motivation, tailoring these enhancements to the needs of a diverse work force.

Finally, you are asked how you assess faculty and staff well-being, satisfaction, and motivation, and how you translate assessment findings into improvement priorities.

Comments

- Since the safety and health of faculty and staff depend significantly upon specific work environments and responsibilities, it is important to view such factors separately and to segment measures and data accordingly, addressing the principal safety and health issues associated with each work unit.

- Organizations need to consider a variety of services, facilities, activities, benefits, and opportunities and to tailor these to the well-being and satisfaction of all faculty and staff. Increasingly, the needs of a diverse work force have to be addressed.

- Most education organizations, regardless of size, have many opportunities to contribute to faculty and staff well-being and satisfaction. Examples of services, facilities, activities, benefits, and other opportunities are: personal and career counseling; career development and employability services; recreational or cultural activities; formal and informal recognition; non-work-related education; day care; special leave for family responsibilities and/or for community service; home safety training; flexible work hours; outplacement; and retiree benefits (including extended health care).

- Many factors might affect faculty and staff well-being and satisfaction, and these factors are likely to differ greatly among faculty and staff groups. The organization might need to consider a variety of factors such as

effective faculty and staff problem or grievance resolution; safety; faculty and staff views of leadership; faculty and staff development and career opportunities; faculty and staff preparation for changes in technology or work organization; work environment; workload; cooperation and teamwork; recognition; benefits; communications; job security; compensation; equality of opportunity; and capability to provide required services to students.

- In addition to formal or informal survey results, other measures and/or indicators of well-being and satisfaction might include safety, absenteeism, turnover, grievances, and worker's compensation claims. Factors inhibiting motivation need to be prioritized and addressed. Further understanding of these factors could be developed through exit interviews with departing faculty and staff.

Educational and Support Process Management (Category 6)

Educational and Support Process Management is the focal point within the Education Criteria for all key processes. Built into the Category are the central requirements for efficient and effective process management — effective design, evaluation, continuous improvement, and focus on high performance.

6.1 Education Design and Delivery

Purpose

This Item examines your organization's key educational program and offering design and delivery processes, with the aim of improving your organization's education effectiveness.

Requirements

You are asked to identify your key design processes for educational programs and offerings and related education delivery processes. You are asked how you ensure that programs and offerings serve overall student needs, meet high standards, and focus on active learning. You are also asked how you address the key factors in design effectiveness, including relationships among offerings, measurement, and faculty and staff preparation.

You are also asked to identify your key educational programs and offerings and their key performance requirements, measurements, and indicators used to provide timely information to help students and faculty. Finally, you are asked how you improve your educational programs and offerings.

Comments

- Design approaches could differ appreciably depending upon many factors including organization mission and student age, experience, and capability. Formative and summative assessments need to be tailored to the offering and program goals and might range from purely individualized to group-based.

- Educational programs and offerings refer to all strategies used to engage students in learning. This might require the identification of critical points in the teaching and learning process for measurement, observation, or intervention. The intent is that these activities occur at the earliest points possible in the teaching and learning process. Reaching expected student, faculty, and staff performance frequently requires setting performance levels or standards to guide decision making. Included are the observations, measures, and/or indicators used and how these are used to provide timely information to help students and faculty. In addition to assessment results, observations, measures, and/or indicators might include enrollment and participation figures, student evaluation of course/instructor, success rates, attendance rates, dropout rates, counselor information, advanced study rates, complaints, feedback from students and families, and formal classroom observation by school leaders. Differences among students must be a critical part of the evaluation of key educational processes. Among the key factors to be addressed in assessment are ensuring appropriate comparisons among students and the relevance of assessment criteria to mission objectives. That is, assessment should be optimally related to the knowledge and skill requirements of offerings, and assessment should provide students and others with key information about what they know and are able to do.

- Improving organizational performance means not only providing better educational value for the student but also better operational performance from the organization's perspective. A wide variety of improvement approaches might be used, depending on the educational program and many student-specific factors. These include: (1) information from students, families, feeder schools, and/or receiving schools; (2) benchmarking practices of other organizations; (3) use of assessment results; (4) peer evaluation; (5) research on learning, assessment, and instructional methods; (6) information from employers and governing bodies; (7) use of new learning technology; and (8) sharing successful strategies across the organization. In some cases, improvement of educational processes might entail complete redesign of programs and offerings in content, delivery, or both.

6.2 Education Support Processes

Purpose

This Item examines your organization's key support processes, with the aim of improving your overall educational and operational performance.

Requirements

You are asked to identify your key support processes and their key requirements, incorporating input from students and others supported by these processes. You are asked how your organization's key support processes are designed to meet the requirements.

You are also asked how day-to-day operation of key support processes ensures meeting the key requirements, and how you select and use in-process measures and feedback.

Finally, you are asked how you improve the key support processes, to achieve better overall education and operational performance.

Comments

- Support processes are those that support the organization's overall education activities and operations. Support process design requirements usually depend significantly upon student, faculty, and staff performance requirements that need to be coordinated and integrated to ensure effective linkage and performance. Support processes might include learner support services such as counseling, advising, placement, tutoring, and libraries and information technology. Support services might also include, as appropriate, recruitment, enrollment, registration, accounting, plant and facilities management, secretarial and other administrative services, security, marketing, information services, public relations, food services, health services, transportation, housing, bookstores, and purchasing.

- In some cases purchasing might entail developing partnering relationships with suppliers, to ensure meeting your organization's key requirements, including educational value and safety.

- Evaluation and improvement of support processes might entail the use of: (1) activity-level cost information; (2) process analysis and research; (3) benchmarking; (4) use of alternative technology; and (5) use of information from students, faculty, staff, and other stakeholders — within and outside the organization. Together, these approaches offer a wide range of possibilities, including complete redesign of processes.

6.3 Partnering Processes

Purpose

This Item examines your organization's key partnering processes, with the aim of improving how your organization works with other schools and employers to prepare students for key transitions into and out of your school.

Requirements

You are asked to identify the schools and/or types of schools your students attended prior to attending your school. You are then asked how you develop and maintain relationships with these other schools for effective communication of requirements and preparation for attending your school.

You are also asked to identify the schools and/or types of schools and/or places of work your students enter upon completion of studies at your school. You are then asked how you develop and maintain relationships with them for successful transitions.

Finally, you are asked how you improve your partnering processes with other schools and places of work to ensure effective transitions for your students.

Comments

- The main focus of this Item is successful transitions of students into and out of your school that require effective communication and cooperation, best accomplished via partnering relationships with other schools and places of work. Key examples of purpose here are new student readiness and school-to-work transitions.

- Partnering supports not only short-term aims but also longer-term aims such as understanding emerging needs to help shape academic and support services, which include orientation, mentoring, counseling, and placement.

- In some cases, partnering might entail working with families, groups of parents, and social service organizations.

Organizational Performance Results (Category 7)

The Organizational Performance Results Category provides a results focus for all improvement activities, using a set of measures that reflect overall mission-related success. Category 7 thus provides "real-time" information — measures and indicators of progress — for evaluating and improving the effectiveness and efficiency of educational services, aligned with your organization's mission and strategy. The data called for in this Category are the major ingredients in Analysis of Organizational Performance (Item 4.2), which is intended to identify causal connections to support improvement activities, planning, and change. Overall, the five Items in the Category should provide a comprehensive and balanced view of your organization's effectiveness in improving its performance, now and in the future.

7.1 Student Performance Results

Purpose

This Item examines your organization's student performance results, with the aim of demonstrating the effectiveness of educational programs and activities.

Requirements

You are asked to provide current levels, trends, and appropriate comparisons for key measures and/or indicators of student performance.

Comments

- This Item addresses the principal student performance results based upon mission-related factors and assessment methods. The following considerations are critical to understanding this Item: (1) student performance should reflect holistic and mission-related results; (2) current levels and trends should be reported — the former to allow comparisons with other organizations providing similar services and/or student populations and the latter to demonstrate year-to-year improvement; and (3) data should be segmented by student groups to permit trends and comparisons that demonstrate the organization's sensitivity to education improvement for all students. Overall, this Item is the most important one as it depends upon demonstrating improvement by the organization over time and higher achievement levels relative to comparable organizations and/or student populations.

- Student performance results should not only reflect what students know, but what they are able to do and how well they are able to function. Results should consider external requirements derived from the marketplace, other organizations providing similar services, etc., on an ongoing basis. Appropriate for inclusion are curriculum based and criterion-referenced assessment results that address key learning goals and overall performance requirements and are embedded and ongoing, allowing for prompt feedback.

- Proper use of this Item depends upon appropriate normalization of data to compensate for initial differences in student populations. Although better admission

criteria might contribute to improved education for all students, improved student performance based entirely upon changing students' entry-level qualifications should not be reported in Item 7.1. However, improvement trends in student admission qualifications are appropriate for inclusion in Organizational Effectiveness Results (Item 7.5). Improvement in student performance beyond that which could be attributed to entry-level qualifications is appropriate for inclusion in Item 7.1, along with other measures and/or indicators of improvement trends and comparisons.

7.2 Student and Stakeholder Focused Results

Purpose

This Item examines your organization's student and stakeholder focused results, with the aim of demonstrating how well your organization has been satisfying key needs and expectations.

Requirements

You are asked to provide current levels and trends for key measures and/or indicators of student and stakeholder satisfaction and dissatisfaction. You are also asked to provide current levels and trends in key measures and/or indicators of student and stakeholder loyalty, positive referral, perceived value, and relationship building, as appropriate.

Comments

- This Item addresses the results related to assessing the organization's student and stakeholder related performance — student and stakeholder satisfaction and dissatisfaction, student and stakeholder satisfaction relative to comparable organizations, and service performance. The Item calls for the use of all relevant data and information to establish the organization's performance as viewed by students and stakeholders. Relevant data and information include: student and stakeholder satisfaction and dissatisfaction; gains and losses of students; positive referrals; complaints; and competitive awards, ratings, and recognition from independent organizations. Relevant data and information also include service performance measures, especially those that serve as predictors of student and stakeholder satisfaction.

- Effectively used, satisfaction results provide important indicators of organizational effectiveness and improvement. Effective use entails understanding the key dimensions of satisfaction and dissatisfaction, recognition that satisfaction and dissatisfaction with education services and/or performance might differ among student and stakeholder groups, and recognition that satisfaction/dissatisfaction might change over time, based on a longer-term perspective. The underlying purpose of the Item is not only to ensure that satisfaction levels provide a useful tool in assessing key climate factors that contribute to or inhibit education, but also to encourage inclusion of education and growth dimensions in satisfaction mea-

surement. Satisfaction is thus principally an enabler, not an end in itself. Together, the results reported in Item 7.2 should help to guide action leading to improved student performance, recognizing that the action might address climate, curriculum, faculty development, and many other factors. The Item should not be interpreted as emphasizing "popularity" or other short-term, non-educational aims.

7.3 Budgetary and Financial Results

Purpose

This Item examines your organization's budgetary and financial results, with the aim of understanding your management and effective use of financial resources.

Requirements

You are asked to provide current levels and trends in key measures and/or indicators of budgetary and financial performance. Overall, these results should provide a complete picture of the effectiveness of management and use of financial resources.

Comments

- This Item addresses those factors that best reflect the organization's financial, budget, and marketplace performance. Measures reported in this Item will frequently be those key financial, budget, and market measures tracked by senior leadership on an ongoing basis to gauge overall performance. Measures of financial and budget performance might include instructional and general administration expenditures per student, income/expenses/reserves, tax rate, tuition and fee levels, cost per academic credit, annual grants/awards, program expenditures as a percent of budget, annual budget increase or decrease, resources redirected to education from other areas, scholarship growth, percent of budget on research, or budget for public service. Marketplace performance could include market share measures of growth or loss of students or programs, new education services entered, and market position. Measures might include number of students transferring into or out of the organization, including alternative education services such as homeschooling, charter schools, or vouchers, utilization of new education program offerings, or new/expanded delivery methods, as appropriate. Comparative data for these measures might include performance relative to comparable organizations and to competing organizations, and appropriate benchmarks from within and outside the academic community.

7.4 Faculty and Staff Results

Purpose

This Item examines your organization's faculty and staff results, with the aim of demonstrating how well your organization has been creating and maintaining a positive, productive, learning, and supportive work environment.

Requirements

You are asked to provide current levels and trends for key measures and indicators of faculty and staff well-being, satisfaction and dissatisfaction, and development. You are also asked to provide current levels and trends in key measures and/or indicators of faculty and staff work system performance and effectiveness.

Comments

■ This Item addresses the organization's faculty and staff results — those relating to well-being, satisfaction, development, performance, and effectiveness of faculty and staff. Results reported could include generic and/or organization-specific factors. Generic factors include safety, absenteeism, turnover, and satisfaction. Organization-specific factors might include results commonly used in the academic community or created by the organization for purposes of tracking progress. Results reported might include input data, such as extent of training, but the main emphasis should be placed on measures of effectiveness.

■ Results reported for work system performance should include those relevant to the organization and might include measures of improvement in job classification, job rotation and/or sharing, work design, and changes in local decision making.

■ The Item calls for comparative information so that results can be evaluated meaningfully against comparable organizations or other relevant external measures of performance. For some measures, such as absenteeism and turnover, local or regional comparisons also are appropriate.

7.5 Organizational Effectiveness Results

Purpose

This Item examines your organization's other key operational performance results, with the aim of achieving organizational effectiveness and key organizational goals.

Requirements

You are asked to provide current levels and trends in key measures and/or indicators of key design, delivery, and support process performance that contribute to enhanced learning and/or operational effectiveness. You are also asked to provide results for key measures and/or indicators of safety, regulatory/legal/accreditation requirements, and support of key communities. Finally, you are asked to provide results for key measures and/or indicators of accomplishment of organizational strategy.

Comments

■ This Item addresses key performance results not covered in Items 7.1 through 7.4 that contribute significantly to enhanced learning and the organization's mission and goals — student performance, student and stakeholder satisfaction, operational effectiveness, and financial, budget, and marketplace performance. The Item encourages the use of any unique measures the organization has developed to track performance in important areas.

■ Results should reflect key process performance measures, including those that influence student performance and student and stakeholder satisfaction. Measures of productivity and operational effectiveness including timeliness in all key areas — education services and support areas — are appropriate for inclusion. Results of compliance and improvement in areas such as accreditation, regulation, and athletic programs could be reported. Also appropriate for inclusion are improvements in admission standards, improvements in safety and hiring equity, effectiveness of research and services, innovations, utilization of facilities by community organizations, recycling, contributions to the community, improved performance of administrative and other support functions such as purchasing, cost containment, and redirection of resources from other areas to education.

■ The Item calls for comparative information so that results reported can be evaluated against other organizations and relevant external measures of performance. Such data might be derived from independent surveys, studies, peer group ratings, or other sources.

SCORING SYSTEM

The scoring of responses to Criteria Items (Items) and Award applicant feedback are based on three evaluation dimensions: (1) Approach; (2) Deployment; and (3) Results. Criteria users need to furnish information relating to these dimensions. Specific factors for these dimensions are described below. Scoring Guidelines are given on page 46.

Approach

Approach refers to how you address the Item requirements — the *method(s)* used. The factors used to evaluate approaches include:

- appropriateness of the methods to the requirements
- effectiveness of use of the methods. Degree to which the approach:
  – is repeatable, integrated, and consistently applied
  – embodies evaluation/improvement/learning cycles
  – is based on reliable information and data
- alignment with your organizational needs
- evidence of innovation

Deployment

Deployment refers to the *extent* to which your approach is applied to all requirements of the Item. The factors used to evaluate deployment include:

- use of the approach in addressing Item requirements relevant to your organization
- use of the approach by all appropriate work units

Results

Results refers to *outcomes* in achieving the purposes given in the Item. The factors used to evaluate results include:

- your current performance
- performance relative to appropriate comparisons and/or benchmarks
- rate, breadth, and importance of your performance improvements
- linkage of your results measures to key student, stakeholder, market, process, and action plan performance requirements identified in your Organization Overview and in Approach/Deployment Items

Item Classification and Scoring Dimensions

Items are classified according to the kinds of information and/or data you are expected to furnish relative to the three evaluation dimensions.

The two types of Items and their designations are:

1. Approach/Deployment   **Approach - Deployment**

2. Results   **Results**

Approach and Deployment are linked to emphasize that descriptions of Approach should always indicate the Deployment — consistent with the *specific requirements* of the Item. Although Approach and Deployment

dimensions are linked, feedback to Award applicants reflects strengths and/or opportunities for improvement in either or both dimensions.

Results Items call for data showing performance levels and trends on key measures and/or indicators of organizational performance. Results Items also call for data on breadth of performance improvements — how widespread your improvement results are. This is directly related to the Deployment dimension. That is, if improvement processes are widely deployed, there should be corresponding results. A score for a Results Item is thus a composite based upon overall performance, taking into account the breadth of improvements and their importance. (See next paragraph.)

"Importance" as a Scoring Factor

The three evaluation dimensions described previously are critical to evaluation and feedback. However, evaluation and feedback also must consider the importance of your reported Approach, Deployment, and Results to your key success factors. The areas of greatest importance should be identified in your Organization Overview and in Items such as 2.1, 2.2, 3.1, 6.1, 7.1, and 7.5. Your key organizational requirements and key strategic objectives and action plans are particularly important.

Assignment of Scores to Your Responses

The following guidelines should be observed in assigning scores to your Item responses:

- All Areas to Address should be included in your Item response. Also, responses should reflect what is important to your organization;
- In assigning a score to an Item, first decide which scoring range (e.g., 50% to 60%) best fits the overall Item response. Overall "best fit" does not require total agreement with each of the statements for that scoring range. Actual score *within* the range depends upon judgment of the closeness of the Item response in relation to the statements in the next higher and next lower scoring ranges;
- An Approach/Deployment Item score of 50% represents an approach that meets the overall objectives of the Item and that is deployed to the principal activities and work units covered in the Item. Higher scores reflect maturity (cycles of improvement), integration, and broader deployment; and
- A Results Item score of 50% represents a clear indication of improvement trends and/or good levels of performance in the principal results areas covered in the Item. Higher scores reflect better improvement rates and/or levels of performance, and better comparative performance as well as broader coverage and integration with organizational requirements.

Scoring Guidelines

SCORE	APPROACH/DEPLOYMENT
0%	▪ no systematic approach evident; anecdotal information
10% to 20%	▪ beginning of a systematic approach to the basic purposes of the Item ▪ major gaps exist in deployment that would inhibit progress in achieving the basic purposes of the Item ▪ early stages of a transition from reacting to problems to a general improvement orientation
30% to 40%	▪ an effective, systematic approach, responsive to the basic purposes of the Item ▪ approach is deployed, although some areas or work units are in early stages of deployment ▪ beginning of a systematic approach to evaluation and improvement of basic Item processes
50% to 60%	▪ an effective, systematic approach, responsive to the overall purposes of the Item ▪ approach is well-deployed, although deployment may vary in some areas or work units ▪ a fact-based, systematic evaluation and improvement process is in place for basic Item processes ▪ approach is aligned with basic organizational needs identified in the other Criteria Categories
70% to 80%	▪ an effective, systematic approach, responsive to the multiple requirements of the Item ▪ approach is well-deployed, with no significant gaps ▪ a fact-based, systematic evaluation and improvement process and organizational learning/sharing are key management tools; clear evidence of refinement and improved integration as a result of organizational-level analysis and sharing ▪ approach is well-integrated with organizational needs identified in the other Criteria Categories
90% to 100%	▪ an effective, systematic approach, fully responsive to all the requirements of the Item ▪ approach is fully deployed without significant weaknesses or gaps in any areas or work units ▪ a very strong, fact-based, systematic evaluation and improvement process and extensive organizational learning/sharing are key management tools; strong refinement and integration, backed by excellent organizational-level analysis and sharing ▪ approach is fully integrated with organizational needs identified in the other Criteria Categories

SCORE	RESULTS
0%	▪ no results or poor results in areas reported
10% to 20%	▪ some improvements *and/or* early good performance levels in a few areas ▪ results not reported for many to most areas of importance to key organizational requirements
30% to 40%	▪ improvements *and/or* good performance levels in many areas of importance to key organizational requirements ▪ early stages of developing trends and obtaining comparative information ▪ results reported for many to most areas of importance to key organizational requirements
50% to 60%	▪ improvement trends *and/or* good performance levels reported for most areas of importance to key organizational requirements ▪ no pattern of adverse trends and no poor performance levels in areas of importance to key organizational requirements ▪ some trends *and/or* current performance levels — evaluated against relevant comparisons *and/or* benchmarks — show areas of strength *and/or* good to very good relative performance levels ▪ organizational performance results address most key student/stakeholder, market, and process requirements
70% to 80%	▪ current performance is good to excellent in areas of importance to key organizational requirements ▪ most improvement trends *and/or* current performance levels are sustained ▪ many to most trends *and/or* current performance levels — evaluated against relevant comparisons *and/or* benchmarks — show areas of leadership and very good relative performance levels ▪ organizational performance results address most key student/stakeholder, market, process, and action plan requirements
90% to 100%	▪ current performance is excellent in most areas of importance to key organizational requirements ▪ excellent improvement trends *and/or* sustained excellent performance levels in most areas ▪ evidence of education sector and benchmark leadership demonstrated in many areas ▪ organizational performance results fully address key student/stakeholder, market, process, and action plan requirements

PREPARING THE ORGANIZATION OVERVIEW

The Organization Overview is an outline of your organization. It should address what is most important to your organization, key influences on how your organization operates, and where your organization is headed. *The Organization Overview is a statement of what is relevant and important to your organization and its performance*.

The Organization Overview is critically important because:

- it is the most appropriate starting point for self-assessment and for writing an application. It helps you focus on key performance requirements and results; and

- it is used by the Examiners and Judges in all stages of application review and during the site visit.

It is strongly recommended that the Organization Overview be prepared first and that it be used as a guide in self-assessment and in writing and reviewing a Baldrige application.

Guidelines for Preparing the Organization Overview

The Organization Overview consists of five sections as follows:

1. Basic description of your organization

This section should provide information on:

- the nature of your organization's educational services;

- the size and location(s) of your organization and information on whether it is a public or private organization;

- your organizational culture: purpose, vision, mission, and values, as appropriate;

- your major markets: local, regional, national, or international; and principal student types: advanced placement, special needs, traditional, and non-traditional, etc.;

- your faculty and staff base, including number, types, educational level, and bargaining units;

- your major equipment, facilities, and technologies used; and

- the regulatory environment affecting you: health and safety, financial, district boundaries, etc.

If your organization is a subunit of a larger organization, describe:

- the organizational relationship to your parent and percent of faculty and staff the subunit represents;

- how your services relate to those of your parent and/or other units of the parent organization; and

- key support services, if any, that your parent organization provides.

2. Student and stakeholder requirements

This section should provide information on:

- key student and stakeholder requirements for services (for example, special accommodations, curriculum, class size, degrees available, student advising, etc.). Briefly describe all important requirements, and note significant differences, if any, in requirements among student and stakeholder groups. (Note any special relationships, such as partnerships with stakeholder groups.)

3. Relationships to other organizations

This section should provide information on:

- types and numbers of other organizations with key linkages;

- the most important types of schools, businesses, or other organizations; and

- any limitations, special relationships, or special requirements that may exist with some or all schools, businesses, or other organizations.

4. Competitive situation

This section should provide information on:

- numbers and types of competitors;

- your position (relative size, growth) in the education sector;

- principal factors that determine your competitive success, such as special or unique programs; and

- changes taking place that affect competition, such as new technologies, community size, or new employers and/or opportunities for collaboration.

5. Organizational directions

This section should provide information, as appropriate, on:

- major new thrusts for your organization, such as entry into new markets or segments;

- new alliances;

- introduction of new technologies;

- changes in strategy; and

- unique factors.

Page Limit

For Baldrige Award applicants, the Organization Overview is limited to five pages. These are not counted in the overall application page limit. Typing instructions for the Organization Overview are the same as for the application. These instructions are given in the *2000 Application Forms & Instructions for Business, Education, and Health Care* booklet. Ordering information is given on page 53.

2000 EDUCATION CRITERIA RESPONSE GUIDELINES

The guidelines given in this section are offered to assist you, as a Criteria user, in responding most effectively to the requirements of the 19 Criteria Items. Writing an application for the Baldrige Award involves responding to these requirements in 50 or fewer pages.

The guidelines are presented in three parts:

(1) General Guidelines regarding the Criteria booklet, including how the Items are formatted;

(2) Guidelines for Responding to Approach/Deployment Items; and

(3) Guidelines for Responding to Results Items.

General Guidelines

1. Read the entire Criteria booklet.

The main sections of the booklet provide an overall orientation to the Criteria, including how responses are to be evaluated for self-assessment or by Award Examiners. You should become thoroughly familiar with the following sections:

- Education Criteria for Performance Excellence (pages 13-29)

- Scoring information (pages 45-46)

- Glossary of Key Terms (pages 30-31)

- Category and Item Descriptions (pages 32-44)

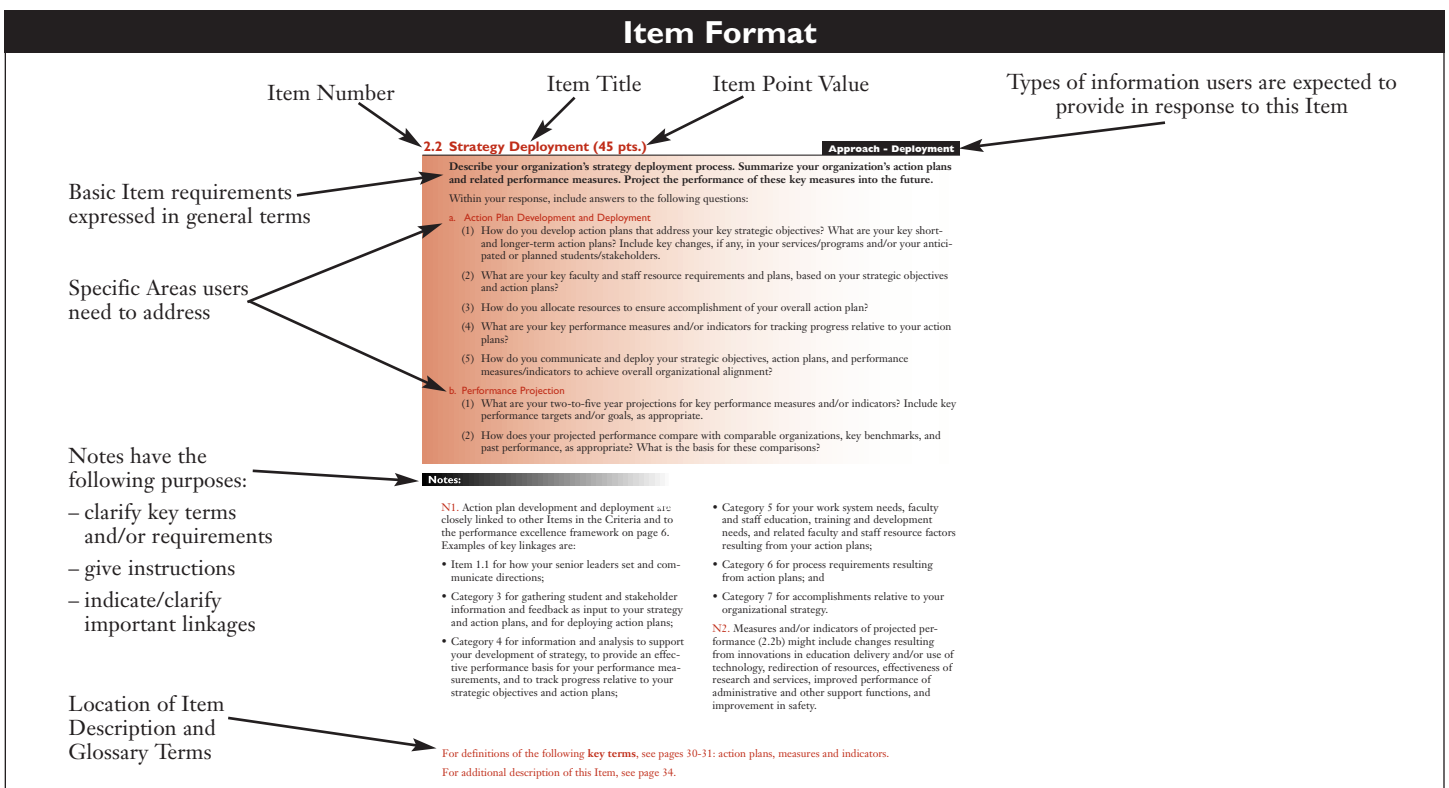### 2. Review the Item format and understand how to respond to the Item requirements.

The Item format (see figure below) shows the different parts of Items, the significance of each part, and where each part is placed. It is especially important to understand the Areas to Address and the Item Notes. Each Item and Area to Address is described in greater detail in a separate section (pages 32-44).

Each Item is classified either as **Approach-Deployment** or **Results**, depending on the type of information required. Guidelines for responding to Approach/Deployment Items are given on page 49. Guidelines for responding to Results Items are given on page 50.

Item requirements are presented in question format, sometimes with modifying statements. Responses to an Item should contain answers to all questions and modifying statements; however, each question need not be separately answered. Responses to multiple questions within a single Area to Address may be grouped, as appropriate to your organization.

3. Start by preparing the Organization Overview.

The Organization Overview is the most appropriate starting point for initiating a self-assessment or for writing an application. The Organization Overview is intended to help everyone — including Criteria users, application writers, and reviewers — to understand what is most relevant and important to your organization. Guidelines for preparing the Organization Overview are given on page 47.

Item Format

Item Number — Item Title — Item Point Value

Types of information users are expected to provide in response to this Item

Basic Item requirements expressed in general terms

Specific Areas users need to address

Notes have the following purposes:
– clarify key terms and/or requirements
– give instructions
– indicate/clarify important linkages

Location of Item Description and Glossary Terms

2.2 Strategy Deployment (45 pts.) — Approach - Deployment

Describe your organization's strategy deployment process. Summarize your organization's action plans and related performance measures. Project the performance of these key measures into the future.

Within your response, include answers to the following questions:

a. Action Plan Development and Deployment
(1) How do you develop action plans that address your key strategic objectives? What are your key short- and longer-term action plans? Include key changes, if any, in your services/programs and/or your anticipated or planned students/stakeholders.
(2) What are your key faculty and staff resource requirements and plans, based on your strategic objectives and action plans?
(3) How do you allocate resources to ensure accomplishment of your overall action plan?
(4) What are your key performance measures and/or indicators for tracking progress relative to your action plans?
(5) How do you communicate and deploy your strategic objectives, action plans, and performance measures/indicators to achieve overall organizational alignment?

b. Performance Projection
(1) What are your two-to-five year projections for key performance measures and/or indicators? Include key performance targets and/or goals, as appropriate.
(2) How does your projected performance compare with comparable organizations, key benchmarks, and past performance, as appropriate? What is the basis for these comparisons?

Notes:

N1. Action plan development and deployment are closely linked to other Items in the Criteria and to the performance excellence framework on page 6. Examples of key linkages are:
- Item 1.1 for how your senior leaders set and communicate directions;
- Category 3 for gathering student and stakeholder information and feedback as input to your strategy and action plans, and for deploying action plans;
- Category 4 for information and analysis to support your development of strategy, to provide an effective performance basis for your performance measurements, and to track progress relative to your strategic objectives and action plans;

- Category 5 for your work system needs, faculty and staff education, training and development needs, and related faculty and staff resource factors resulting from your action plans;
- Category 6 for process requirements resulting from action plans; and
- Category 7 for accomplishments relative to your organizational strategy.

N2. Measures and/or indicators of projected performance (2.2b) might include changes resulting from innovations in education delivery and/or use of technology, redirection of resources, effectiveness of research and services, improved performance of administrative and other support functions, and improvement in safety.

For definitions of the following **key terms**, see pages 30-31: action plans, measures and indicators.
For additional description of this Item, see page 34.

Guidelines for Responding to Approach/Deployment Items

The Criteria focus on key performance results. However, results by themselves offer little *diagnostic* value. For example, if some results are poor or are improving at rates slower than your competition's, it is important to understand *why* this is so and *what* might be done to accelerate improvement.

The purpose of Approach-Deployment Items is to permit diagnosis of your organization's most important processes — the ones that enable fast-paced performance improvement and contribute to key results. Diagnosis and feedback depend heavily upon the *content and completeness* of Approach-Deployment Item responses. For this reason, it is important to respond to these Items by providing key process information. Guidelines for organizing and reviewing such information follow.

1. Understand the meaning of *how*.

Items requesting information on approach include questions that begin with the word *how*. *Responses should outline your key process information such as methods, measures, deployment, and evaluation/improvement/learning factors.* Responses lacking such information, or merely providing an example, are referred to in the Scoring Guidelines as *anecdotal information*.

2. Understand the meaning of *what*.

Two types of questions in Approach/Deployment Items begin with the word *what*. The first type of question requests basic information on key processes and how they work. Although it is helpful to include *who* performs the work, merely stating *who* does not permit diagnosis or feedback. The second type of question requests information on *what* are your key findings, plans, objectives, goals, or measures. These questions set the context for showing alignment in your performance management system. For example, when you identify key strategic objectives, your action plans, faculty and staff development plans, and some of your results measures can be expected to relate to the stated strategic objectives.

3. Write and review response(s) with the following guidelines and comments in mind:

- Show that activities are *systematic*.

  Approaches that are systematic are repeatable and use data and information so that improvement and learning are possible. In other words, approaches are systematic if they build in the opportunity for evaluation and learning, and thereby permit a gain in maturity.

- Show deployment.

  Deployment information should summarize what is done in different parts of your organization. Deployment can be shown compactly by using tables.

- Show focus and consistency.

  There are four important factors to consider regarding focus and consistency: (1) the Organization Overview should make clear what is important; (2) the Strategic Planning Category, including the strategic objectives and action plans, should highlight areas of greatest focus and describe how deployment is accomplished; (3) descriptions of organizational-level analysis and review (Items 4.2 and 1.1) should show how your organization analyzes and reviews performance information to set priorities; and (4) the Educational and Support Process Management Category should highlight processes that are key to overall organizational performance. *Focus and consistency in the Approach-Deployment Items and tracking corresponding measures in the Results Items should improve organizational performance.*

- Respond fully to Item requirements.

  Missing information will be interpreted as a gap in approach and/or deployment. All Areas to Address should be addressed. Individual components of an Area to Address may be addressed individually or together.

4. Cross-reference when appropriate.

As much as possible, each Item response should be self-contained. However, responses to different Items might be mutually reinforcing. It is then appropriate to refer to other responses, rather than to repeat information. In such cases, key process information should be given in the Item requesting this information. For example, faculty and staff education and training should be described in detail in Item 5.2. References elsewhere to education and training would then reference, but not repeat, this detail.

5. Use a compact format.

Applicants should make the best use of the 50 application pages permitted. Applicants are encouraged to use flowcharts, tables, and "bullets" to present information.

6. Refer to the Scoring Guidelines

The evaluation of Item responses is accomplished by considering the Criteria Item requirements and the maturity of your organization's approaches, breadth of deployment, and strength of the improvement process relative to the Scoring Guidelines. Therefore, you need to consider both the Criteria and the Scoring Guidelines.

Guidelines for Responding to Results Items

The Education Criteria place greatest emphasis on results. The following information, guidelines, and example relate to effective and complete reporting of results.

1. **Focus on the most critical organizational performance results.**

   Results reported should cover the most important requirements for organizational success, highlighted in the Organization Overview, and in the Strategic Planning and Educational and Support Process Management Categories.

2. **Note the meaning of the four key requirements from the Scoring Guidelines for effective reporting of results data.**

   - *trends* to show directions of results and rates of change;

   - *performance levels* on a meaningful measurement scale;

   - *comparisons* to show how results compare with those of other, appropriately selected organizations; and

   - *breadth and importance of results* to show that all important results are included.

3. **Include trend data covering actual periods for tracking trends.**

   No minimum period of time is specified for trend data. Trends might span five years or more for some results. However, for important results, new data should be included even if trends and comparisons are not yet well established.

4. **Use a compact format — graphs and tables.**

   Many results can be reported compactly by using graphs and tables. Graphs and tables should be labeled for easy interpretation. Results over time or compared with others should be "normalized" — presented in a way (such as use of ratios) that takes into account various size factors. For example, reporting absenteeism trends in terms of unexcused absences per 100 students would be more meaningful than total unexcused absences, if the student population has varied over the time period, and/or if you are comparing your results to organizations differing in numbers of students from your own.

5. **Integrate results into the body of the text.**

   Discussion of results and the results themselves should be close together in an Award application. *Trends that show a significant positive or negative change should be explained.* Use figure numbers that correspond to Items. For example, the third figure for Item 7.2 would be Figure 7.2-3. (See the example in the following figure.)

This graph illustrates data that might be presented as part of a response to Item 7.2, Student and Stakeholder Focused Results. In the Organization Overview, the organization has indicated student retention as a key success factor.

Figure 7.2-3 Student Retention
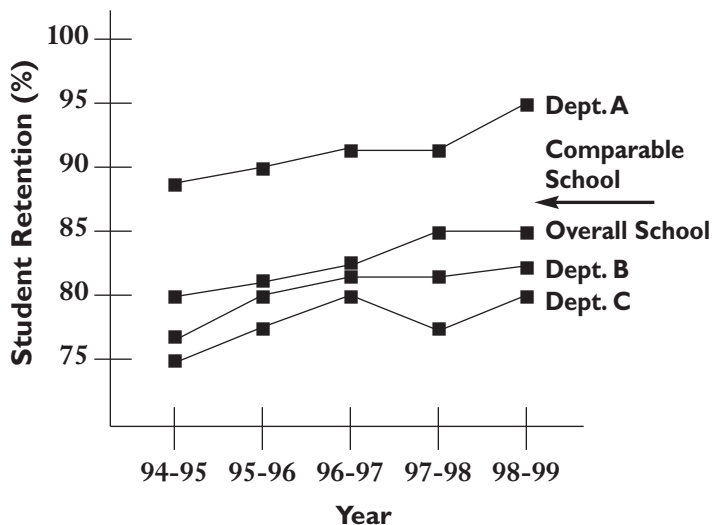
Using the graph, the following characteristics of clear and effective data reporting are illustrated:

- Both axes and units of measure are clearly labeled, and a figure number is provided for reference to the graph in the text.

- Trend lines report data for a key success factor — student retention.

- Results are presented for several years.

- Appropriate comparisons are clearly shown.

- The school shows, using a single graph, that its three departments separately track retention rates.

To help interpret the Scoring Guidelines (page 46), the following comments on the graphed results would be appropriate:

- The current overall school performance shows a generally improving trend. The current level is good but still slightly below the comparable school.

- Department A is the current performance leader, showing sustained excellent performance and a positive trend.

- Department B shows a generally improving trend, but at a lower level of performance.

- Although Department C has the overall lowest student retention rate, there is a generally improving trend, with the exception of the 97-98 school year. (The single point drop in student retention should be briefly explained.)

APPLYING FOR THE MALCOLM BALDRIGE NATIONAL QUALITY AWARD

The Malcolm Baldrige National Quality Award is an annual Award to recognize U.S. organizations for performance excellence.

The Award promotes:

- awareness of performance excellence as an increasingly important element in competitiveness; and

- information sharing of successful performance strategies and the benefits derived from using these strategies.

Award Participation

The Award eligibility categories include:

- manufacturing businesses

- service businesses

- small businesses

- education organizations

- health care organizations

Copies of the Business Criteria and Health Care Criteria are available, and ordering information can be found on page 53.

Three awards may be given in each category each year.

To participate in the Award process, an organization must submit an application package that addresses the Education Criteria for Performance Excellence (pages 13-29). Award applicants are expected to provide information and data on their organization's key processes and results. The information and data must be adequate to demonstrate that applicants' approaches are effective and yield desired outcomes.

Application Requirements

Each applicant needs to submit an application package that consists of three parts:

- an Eligibility Determination Form showing that eligibility has been approved;

- a completed Application Form; and

- an application report consisting of an Organization Overview and responses to the Criteria.

Detailed information and the necessary forms are contained in the *2000 Application Forms & Instructions for Business, Education, and Health Care* booklet. Ordering instructions for this booklet are given on page 53.

Application Review

Applications are reviewed and evaluated by members of the Board of Examiners, in accord with strict rules regarding conflict of interest, in a four-stage process:

Stage 1 - independent review and evaluation by at least five members of the Board

Stage 2 - consensus review and evaluation for applications that score well in Stage 1

Stage 3 - site visits to applicants that score well in Stage 2

Stage 4 - Judges' review and recommendations of Award recipients

Feedback to Applicants

The feedback report, a tool for continuous improvement, is a written assessment by an evaluation team of leading U.S. experts. Each Award applicant receives a feedback report at the conclusion of the review process.

The feedback report contains an applicant-specific listing of strengths and opportunities for improvement based on the Criteria for Performance Excellence. Used by companies, education organizations, and health care organizations as part of their strategic planning processes, the feedback report helps organizations focus on their customers and improve productivity. The feedback system is one of the most important components of the Baldrige Award process; it provides a pathway for continuous improvement.

Feedback reports will be mailed at various times during the Award cycle, based on the stage of review an application reaches in the evaluation process. Strict confidentiality is observed at all times and in every aspect of application review and feedback.

Award Recipients

Award recipients may publicize and advertise their Awards. Recipients are expected to share information about their successful performance strategies with other U.S. organizations.

If your organization is applying in the Business or Health Care Category, refer to the appropriate Criteria booklet and the *2000 Application Forms & Instructions for Business, Education, and Health Care*. Ordering information is on page 53.

SUMMARY OF EDUCATION ELIGIBILITY CATEGORIES AND RESTRICTIONS

If You Are Considering Applying for the Award:

- These Criteria should be used only for the education eligibility category.

- The following is a summary of the eligibility rules for the education category only. Summaries of the eligibility rules for the business and health care categories are in the respective Criteria booklets. If there is a question on eligibility, check the complete eligibility rules in the *2000 Application Forms & Instructions for Business, Education, and Health Care*, or call the Baldrige National Quality Program Office at (301) 975-2036.

- Whatever your Award eligibility category, you will need to obtain a copy of the *2000 Application Forms & Instructions for Business, Education, and Health Care* before proceeding. Ordering instructions are given on page 53.

Basic Eligibility

Public Law 100-107 includes provisions to expand or modify the list of Award categories. Beginning with the 1999 Award cycle, two new eligibility categories — education and health care — were added. Participation is open to for-profit and not-for-profit public, private, government organizations, and some subunits — including U.S. subunits of foreign organizations — that provide education services in the United States and its territories.

Eligibility is intended to be as open as possible. For example, eligible education organizations include elementary and secondary schools and school districts; colleges, universities, and university systems; schools or colleges within universities; professional schools; community colleges; and technical schools. However, departments within schools or colleges are ineligible.

Note: *For-profit education organizations may choose to apply either under the service or small business categories, as appropriate, using the Business Criteria, or under the education category using the Education Criteria.*

Subunits

A subunit is a unit or division of a larger (parent) organization. Subunits of organizations may be eligible. To be eligible, the subunit must be self-sufficient enough to be examined in all seven Criteria Categories, and it must be recognizable as a discrete entity that is easily distinguishable from the parent and its other subunits. It cannot be primarily a support function (e.g., student advising units, counseling units, food services, health services, housing, libraries, safety, finance and accounting, human resources, public relations, and purchasing).

Other Restrictions on Eligibility

Location: Although an applicant may have facilities outside the United States or its territories or receive support from its parent, in the event of a site visit, the applicant must ensure that the appropriate people and materials are available for examination in the United States to document the operational practices associated with all of its major functions. In the event that the applicant receives the Award, it must be able to share information on the seven Baldrige Criteria Categories at the Quest for Excellence Conference and at its U.S. facilities. Sharing beyond the Quest for Excellence Conference is on a voluntary basis.

Multiple-Application Restrictions: A subunit and its parent may not both apply for Awards in the same year. In some cases, more than one subunit of a parent may apply. If the employee size of the parent, including all of its subunits, is:

- 0-1000 parent employees, 1 applicant per parent per category may apply;

- 1001-20,000 parent employees, 2 applicants per parent per category may apply;

- Over 20,000 parent employees, 2 applicants per parent per category for the first 20,000, plus 1 per 20,000 or fraction thereof above 20,000 per parent per category may apply.

Future Eligibility Restrictions: If an organization or a subunit that has more than 50% of the total employees of the parent receives an Award, the organization and all its subunits are ineligible to apply for another Award for a period of five years. If a subunit receives an Award, that subunit and all its subunits are ineligible to apply for another Award for a period of five years. After five years, Award recipients are eligible to reapply for the Award or to reapply "for feedback only."

Eligibility Determination

To ensure that Award recipients meet all reasonable requirements and expectations in representing the Award throughout the United States, potential applicants must have their eligibility approved prior to applying for the Award. Potential applicants for the 2000 Award are encouraged to submit their Eligibility Determination Forms as early as possible after they are available, but no later than April 6, 2000. This form is contained in the *2000 Application Forms & Instructions for Business, Education, and Health Care*.

How to Order Copies of Baldrige Program Materials

Note: If you are planning to apply for the Award, you will need the *2000 Application Forms & Instructions for Business, Education, and Health Care* in addition to the Criteria booklet.

Individual Orders

Individual copies of the Criteria booklets and the Application Forms & Instructions can be obtained free of charge from:

Baldrige National Quality Program
National Institute of Standards and Technology
Administration Building, Room A635
100 Bureau Drive, Stop 1020
Gaithersburg, MD 20899-1020
Telephone: (301) 975-2036
Fax: (301) 948-3716
E-mail: nqp@nist.gov

Bulk Orders

Multiple copies of the *2000 Criteria for Performance Excellence* booklets may be ordered in packets of 10 for $29.95 plus shipping and handling from the American Society for Quality (ASQ).

2000 Business Criteria — Item Number T1101
2000 Education Criteria — Item Number T1103
2000 Health Care Criteria — Item Number T1102

How to Order

ASQ offers four convenient ways to order:

- For fastest service, call toll free (800) 248-1946 in the United States and Canada (in Mexico, dial toll free 95-800-248-1946). Have item numbers, your credit card or purchase order number, and (if applicable) ASQ member number ready.

- Or fax your completed order form to ASQ at (414) 272-1734.

- Or mail your order to: ASQ Customer Service Department, P.O. Box 3066, Milwaukee, WI 53201-3066.

- Or order online by accessing ASQ's website at http://www.asq.org.

Payment

Your payment options include: Check, money order, U.S. purchase order, VISA, MasterCard, or American Express. Payment must be made in U.S. currency; checks and money orders must be drawn on a U.S. financial institution. All international orders must be prepaid. Please make checks payable to ASQ.

Shipping Fees

The following shipping and processing schedule applies to all orders:

Order Amount	U.S. Charges	Canadian Charges
0 - $34.99	$ 4.00	$ 9.00
$35.00 - $99.99	6.25	11.25
Over $100.00	12.50*	17.50

- There is an additional charge of 25% of the total order amount for shipments outside the United States/Canada.

- Orders shipped within the continental United States and Canada where UPS service is available will be shipped UPS.

- Please allow one to two weeks for delivery. International customers, please allow six to eight weeks for delivery.

- Your credit card will not be charged until your items are shipped. Shipping and processing are charged one time, up front, for the entire order.

If actual shipping charges exceed $12.50 ($17.50 Canadian), ASQ will invoice the customer for the additional expense.

Baldrige Educational Materials

Each year, the Baldrige National Quality Program develops materials for training members of the Board of Examiners and for sharing information on the successful performance excellence strategies of the Award recipients. The following items are a sample of the educational materials that may be ordered from ASQ.

■ Case Studies

The case studies are used to prepare Examiners for the interpretation of the Criteria and the Scoring System. The case studies, when used with the Criteria, illustrate the Award application and review process. The case study packet is illustrative of an application for the Baldrige Award and is useful in understanding the benefits of the Baldrige process, as well as for self-assessment, planning, training, and other uses.

1999 Business Case Study Packet: Collin Technologies (Based on the *1999 Criteria for Performance Excellence*)

Item Number T1079: $49.95 plus shipping and handling

1998 Business Case Study Packet: Gemini Home Health Services (Based on the *1998 Criteria for Performance Excellence*)

Item Number T1083: $49.95 plus shipping and handling

Education Case Study Packet: Ridgecrest School District (Based on the *1995 Education Pilot Criteria*)

Item Number T1023: $7.28 plus shipping and handling

Health Care Case Study Packet: Pinnacle Health Plan (Based on the *1995 Health Care Pilot Criteria*)

Item Number T1029: $7.28 plus shipping and handling

■ Award Recipients' Videos

The Award recipients' videos are a valuable resource for gaining a better understanding of performance excellence and quality achievement. The videos provide background information on the Baldrige National Quality Program, highlights from the annual Award ceremony, and interviews with representatives from the Award recipients' organizations. Information on the 1999 Award recipients video is provided below. Videos about Award recipients from other years also are available from ASQ.

1999 — Item Number T1086 $ 20.00
            (Available March 2000)

■ How to Order

To order a Case Study Packet (Collin Technologies, Gemini Home Health Services, Ridgecrest School District, or Pinnacle Health Plan), bulk orders of the 2000 Criteria booklet, or the Award recipients' videos, contact:

ASQ Customer Service Department
P.O. Box 3066
Milwaukee, WI 53201-3066
Telephone: (800) 248-1946
Fax: (414) 272-1734
E-mail: asq@asq.org
Web Address: http://www.asq.org

FEES FOR THE 2000 AWARD CYCLE

Eligibility Determination Fees

The eligibility determination fee is $100 for all potential applicants. This fee is nonrefundable.

Application Fees

- for-profit education organizations with more than 500 employees — $4500
- for-profit education organizations with fewer than 500 employees — $1500
- all not-for-profit education organizations — $300

Detailed information on fees is given in the *2000 Application Forms & Instructions for Business, Education, and Health Care* booklet.

Note: There will be an increase in fees in 2001.

Site Visit Review Fees

Site visit review fees will be set when the visits are scheduled. Fees depend upon the number of Examiners assigned and the duration of the visit. Site visit review fees for for-profit education organizations with fewer than 500 employees are one-half the rate for for-profit education organizations with more than 500 employees. Nominal fees will be charged to not-for-profit education organizations selected for site visits. These fees are paid only by those applicants reaching the site visit stage.

**Eligibility Determination Forms due — April 6, 2000
Award Applications due — May 31, 2000**

The Baldrige National Quality Program welcomes your comments on the Criteria or any of the Baldrige Award processes. Please address your comments to:

2000 Education Criteria for Performance Excellence
Baldrige National Quality Program
National Institute of Standards and Technology
Administration Building, Room A635
100 Bureau Drive, Stop 1020
Gaithersburg, MD 20899-1020

or   E-mail: nqp@nist.gov

or   Web Address: http://www.quality.nist.gov

The Malcolm Baldrige National Quality Award was created by Public Law 100-107, signed into law on August 20, 1987. Public Law 100-107 led to the creation of a new public-private partnership. Principal support for the program comes from the Foundation for the Malcolm Baldrige National Quality Award, established in 1988.

The Award is named for Malcolm Baldrige, who served as Secretary of Commerce from 1981 until his death in 1987. His managerial excellence contributed to long-term improvement in efficiency and effectiveness of government.

The Findings and Purposes Section of Public Law 100-107 states that:

"1. the leadership of the United States in product and process quality has been challenged strongly (and sometimes successfully) by foreign competition, and our Nation's productivity growth has improved less than our competitors' over the last two decades.

2. American business and industry are beginning to understand that poor quality costs companies as much as 20 percent of sales revenues nationally and that improved quality of goods and services goes hand in hand with improved productivity, lower costs, and increased profitability.

3. strategic planning for quality and quality improvement programs, through a commitment to excellence in manufacturing and services, are becoming more and more essential to the well-being of our Nation's economy and our ability to compete effectively in the global marketplace.

4. improved management understanding of the factory floor, worker involvement in quality, and greater emphasis on statistical process control can lead to dramatic improvements in the cost and quality of manufactured products.

5. the concept of quality improvement is directly applicable to small companies as well as large, to service industries as well as manufacturing, and to the public sector as well as private enterprise.

6. in order to be successful, quality improvement programs must be management-led and customer-oriented, and this may require fundamental changes in the way companies and agencies do business.

7. several major industrial nations have successfully coupled rigorous private-sector quality audits with national awards giving special recognition to those enterprises the audits identify as the very best; and

8. a national quality award program of this kind in the United States would help improve quality and productivity by:

   A. helping to stimulate American companies to improve quality and productivity for the pride of recognition while obtaining a competitive edge through increased profits;

   B. recognizing the achievements of those companies that improve the quality of their goods and services and providing an example to others;

   C. establishing guidelines and criteria that can be used by business, industrial, governmental, and other organizations in evaluating their own quality improvement efforts; and

   D. providing specific guidance for other American organizations that wish to learn how to manage for high quality by making available detailed information on how winning organizations were able to change their cultures and achieve eminence."

Baldrige National Quality Program

United States Department of Commerce
Technology Administration
National Institute of Standards and Technology
Baldrige National Quality Program
Administration Building, Room A635
100 Bureau Drive, Stop 1020
Gaithersburg, MD 20899-1020

The National Institute of Standards and Technology (NIST) is a non-regulatory federal agency within the Commerce Department's Technology Administration. NIST's primary mission is to strengthen the U.S. economy and improve the quality of life by working with industry to develop and apply technology, measurements, and standards. The Baldrige National Quality Program at NIST manages the Malcolm Baldrige National Quality Award.

Call the Baldrige National Quality Program for:

- information on applying for the Baldrige Award
- information on the Malcolm Baldrige National Quality Award process and eligibility requirements
- information on becoming a Baldrige Examiner
- information on the Baldrige Award recipients
- individual copies of the Criteria for Business, Education, and Health Care (no cost)
- information on other Baldrige National Quality Program materials

Telephone: (301) 975-2036; Fax: (301) 948-3716; E-mail: nqp@nist.gov
Web Address: http://www.quality.nist.gov

American Society for Quality

611 East Wisconsin Avenue
P.O. Box 3005
Milwaukee, WI 53201-3005

The American Society for Quality (ASQ) advances individual and organizational performance excellence worldwide by providing opportunities for learning, quality improvement, and knowledge exchange. ASQ administers the Malcolm Baldrige National Quality Award under contract to NIST.

Call ASQ to order:

- bulk copies of the Criteria
- case studies
- Award recipients' videos

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Web Address: http://www.asq.org

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